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Narrativity in Postmodern Music: A Study of Selected Works of Alfred Schnittke

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Graduate Program in Music
A thesis submitted in partial fulfillment of the requirements for the degree in Doctor of Philosophy

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ABSTRACT

The validity of music narratives has engendered much debate and research. This dissertation traces the development of narratology from its pre-structuralist phase to the post-structuralist phase where the discipline went through a narrative turn and blossomed into a broad-spectrum expansion that takes the form of interdisciplinary narratological studies such as music narratology. By adopting the viewpoints of postmodern philosophers and psychologists such as Mikhail M. Bakhtin, Ihab Hassan, Jean-François Lyotard, Maurice Merleau-Ponty, and Carl Jung, we develop a cognitive narratological theory for postmodern music that is veracious both epistemologically and philosophically.

We analyze formally and contextually four concertos by Alfred Schnittke, one of the pioneers of polystylism, and discuss individual polystylistic and postmodern characteristics evinced in the musical texts. We then provide a brief narratological reading of each concerto. We believe a theory of music narrative completes the aforementioned three-part comprehensive analysis of a musical work and is required for the full understanding and appreciation of any musical work of art.

Keywords: Alfred Schnittke, musical narrative, narrativity, polystylism, postmodernism, cognitive narratology, carnivalization, indeterminacy, immanence, irony, paralogy, Byron Almén, Mikhail M. Bakhtin, Ihab Hassan, Jean-François Lyotard, Maurice Merleau-Ponty, Carl Jung, Double Concerto for Oboe, Harp, and String Orchestra (1971), Concerto for Piano and Strings (1979), Concerto Grosso No.3 (1985), Concerto for Three (1994).

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INTRODUCTION

1.1 Purpose and Procedures

Music narrative, when seen as a mimesis of physical or emotional event sequences, is frequently dismissed on the basis that it lacks a discursive distance between the narrator and the events narrated. Because of its lack of referential meaning, music narrative communicates by becoming a sonic embodiment of the series of phenomenal objects it expresses and thereby creates an immediacy that frustrates the requisite *discursive space* of temporal genres.[1]

Citing musical signs' lack of propositional content and inability to predicate, critics challenge the autonomy of plot-driven music narrative. They regard music

[1]Carolyn Abbate, *Unsung Voices: Opera and Musical Narrative in the Nineteenth Century* (Princeton: Princeton University Press, 1991), 26-7. The concept of *discursive space* originated from Mikhail Bakhtin's discussion of *discursive distance* in the essay "Discourse in the Novel." It refers to the distance between the voice of the author of a literary work and the voice of the characters within the work. It is closely related to the ideas of *heteroglossia* and double-voiced discourse. In his book *The Composer's Voice*, musicologist Edward Cone adapted Bakhtin's idea in reference to the voice of the composer and narrating voices in a musical discourse. Carolyn Abbate and Jean-Jacques Nattiez derived their individual arguments against music narrative from a further development of Cone's adaptation. See Mikhail Mikhaylovich Bahktin, "Discourse in the Novel," in *The Dialogic Imagination: Four Essays*, translated by C. Emerson and M. Holquist, edited by M. Holquist (Austin: University of Texas Press, 1981), 259-422, Edward T. Cone, *The Composer's Voice* (Berkeley: University of California Press, 1974), Abbate, *Unsung Voices*, and Jean-Jacques Nattiez, "Can One Speak of Narrativity in Music?" *Journal of the Royal Musical Association*, 115/2 (1990): 240-57.

In narratology, the teller (the narrator) recounts to the audience (the narratee) a story (the narrated) through a discourse (a narration of events/ narrative). In literary discourse, the author and the narrator are distinct entities. Likewise, the story is distinguished from the discourse. Abbate criticizes music narrative for obliterating the distinction between the narrator and the narrated as they become one and the same.

narrative as no more than a metaphor that owes its existence to narrative archetypes and literary narrative forms.[2]

This study examines the viability of music narrative as an autonomous entity in the context of Alfred Schnittke's music. Further, by way of analyzing four of Schnittke's musical works, it brings to light features of postmodernism in Schnittke's polystylistic music, and the effect of *otherness* (as expressed by Bakhtin's theory of dialogism and Lyotard's theory of paralogy) on Schnittke's manner of narration and our understanding of his music.[3]

1.2 Life and Works

During his life, Alfred Garyevich Schnittke (November 24, 1934 – August 3, 1998) had to surmount three circumstantial afflictions: the Union of Soviet Socialist Republics' totalitarian regime, his Jewish-German ancestry, and ill health.

The Soviet Union's state ideology took the country through a series of Five-Year plans from 1928 until its dissolution in 1991. The goal of the first Five-Year Plan was to bring the country's economy up to par with that of Western capitalist countries through industrialization. The introduction of agricultural *collectivization* under this plan brought about a reduction in monetary incentives for farmers which in turn led to a large-scale labor migration to the industrial regions and the resultant severe decrease in agricultural production. Despite the tumultuous economic hardship, grain exports to Western Europe

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[2]Abbate, *Unsung Voices*, x-xiii; 10-29 and Nattiez, "Narrativity," 240-57.

[3]Bakhtin, *Problems of Dostoevsky's Poetics*, edited and translated by Caryl Emerson (Minneapolis: University of Minnesota Press, 1998) and "Discourse in the Novel"; Jean-François Lyotard, *The Postmodern Condition: A Report on Knowledge*, translated by Geoff Bennington and Brian Massumi, with a foreword by Fredric Jameson (Minneapolis: University of Minnesota Press, 1979), 60-7.

never abated as the Central Committee planned to direct revenue from grain exports toward the funding of its industrialization program. As a result of collectivization and the government's requisition of all grain production, the Ukraine, the Volga region, North Caucasus, and Kazakhstan came under the grip of a withering famine from 1931 to 1934.[4] Conservative estimates put the death toll between 7.2 to 8.1 million. The country's agricultural sector never recovered until after the Second World War.[5]

In 1934, Stalin addressed the Seventeenth Congress of Communist Party of the Soviet Union as follows:

> Whereas at the Fifteenth Congress we were still having to argue for the correctness of the Party line, and to do battle with certain anti-Leninist groups, and at the Sixteenth Congress finish off the last adherents of those groups, at this Congress . . . there is no one to fight. . . . Everybody sees that the Party line is victorious, the policy of industrialization is victorious . . . the policy of liquidation of the kulaks, and total collectivization is victorious. . . . Our country's experience has shown that the victory of socialism in a single country is perfectly possible.[6]

There is some element of truth in the speech: Stalin had instilled so much fear into the heart of the Party and populace that there were no opposition parties or voices to speak of. Through the *Great Purge*, Stalin consolidated his power by removing millions of potential adversaries, anti-revolutionaries, dissident party members, ethnic minorities, peasants, professionals, and intelligentsia, mostly under the label of "enemies of the people." The prevailing social system shifted from one-party dictatorship to Stalinist despotism.[7]

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[4]Edvard Radzinsky, *Stalin: The First In-Depth Biography Based on Explosive New Documents from Russia's Secret Archives*, trans. H. T. Willetts (New York: Anchor Books, 1997), 256-9.

[5]Michael Ellman, "A Note on the number of 1933 Famine Victims," *Soviet Studies* 43/2 (1991): 379. Noted British historian Robert Conquest put the figure at 14.5 million in his book *The Harvest of Sorrow: Soviet Collectivization and the Terror-Famine* (Edmonton: University of Alberta Press in association with the Canadian Institute of Ukrainian Studies, 1986), 301.

[6]Radzinsky, *Stalin*, 305, quoting Joseph Stalin's official report to the Seventeenth Congress.

[7]According to Michael Ellman in "Stalin and the Soviet Famine of 1932-33 Revisited," *Europe Asia Studies* 59/4 (2007): 676-7, during the Soviet famine and the few years following, Stalin pursued a multi-

It was during this especially impoverished and repressive period of Stalinism that Schnittke was born in the city of Engels, the capital of the Volga German Autonomous Soviet Socialist Republic (Volga German ASSR), to an Austrian-Jewish father and a Volga German mother. His ancestry would prove to present many an ordeal for the family during Schnittke's early years.

From 1934 until it joined the Second World War in the beginning of 1941, the Soviet Union went through extreme economic, social, and political instabilities. Culturally, artists of all media were to adhere strictly to the ideology of *socialist realism*.[8] Formulated in October 1932, socialist realism prescribes a work of art to not only reflect Soviet life as it is, but also to present a vision of the future as life would become under the leadership of the Party.[9]

The Soviet leaders fully recognized the power of propaganda inherent in art. Literature and other forms of artistic expression like film, music, and painting all became apotheoses of Stalin, the State, and the Party. Individualistic, modern, politically satirical, and religious works of art, as well as those that did not embrace the optimistic socialist realist directives, were condemned as counter-revolutionary or "formalistic" and met eventually with the inevitable fate of censure and censorship.[10]

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pronged repressive regime against the USSR population. It included judicial repression, prosecutions by the OGPU (*Ob'edinennoe Gosudarstvennoe Politicheskoe Upravlenie*. Translated as the *All-Union State Political Administration.* Also known as the *State Political Directorate.*), deportations, forceful requisition of scarce grain production, and willful starvation.

[8]Soviet culture during this time bore the responsibility of reconstructing the new Soviet man. Lenin believed the human brain to be an electromechanical device that can be conditioned by external stimuli. Artists were expected to assume the role of engineers and reform the proletariat workers by conveying to them the heroic promises of the Communist party in a manner to which the workers would be able to relate and understand. See Orlando Figes, *Natasha's Dance: A Cultural History of Russia* (New York: Picador, 2002), 446-7.

[9]Figes, *Natasha's Dance*, 474.

[10]During the Soviet period, the term "formalism" was used to describe any work of art that was inaccessible to the masses. A formalist piece of art is considered elitist, emphasizing form at the expense of intelligibility and fulfillment of its socialist realist function. Lenin's thought on art and its proper relation

Although Schnittke's parents recognized early his aptitude for music, they lacked the musical background and financial means to provide him with any formal training. The only channel to music open to Schnittke during his formative years was the radio.[11] However, like all other mass media, radio broadcast was part of the Party's propaganda machine and so was tightly controlled.

In June of 1941, Nazi Germany reneged on the non-aggression pact with the Soviet Union and launched Operation Barbarossa, a massive surprise attack on the Soviet border with the ultimate objective of occupying Russia from Archangel to Volga, crushing its military power, and appropriating Soviet resources. To prevent the fifth column from collaborating with the German invaders, Stalin promulgated the Decree of Banishment. The Volga German ASSR (Autonomous Soviet Socialist Republic) was abolished and all Volga Germans were deported to Siberia and Kazakhstan.[12] Fortunately, Schnittke's father was able to prove that he was Jewish and the family escaped such fate as befell other ethnic Germans. However, the invading Nazi Germany intended to demolish Jewish Bolshevism by annihilating communists and the Soviet Jewry. By most accounts, the Eastern Front of World War II (also known as the Nazi-Soviet War, the

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to the people is well-known: "Art belongs to the people. It must have its deepest roots in the broad mass of workers. It must be understood and loved by them. It must be rooted in and grow with their feelings, thoughts, and desires. It must arouse and develop the artist in them. Are we to give cake and sugar to a minority when the mass of workers and peasants still lack black bread?" (See Klara Zetkin, *Reminiscences of Lenin*: *Dealing with Lenin's Views on the Position of Women and Other Questions* [London: Modern Books, 1929], 14) However, it was misinterpreted by Stalin bureaucracy to imply that the onus was on the artist to make his art understood and loved by the masses instead of educating and cultivating the masses to appreciate high art. An elucidation on the apparent contradiction that Lenin, an avid lover of art music, would persecute composers for being formalistic is provided by Marina Frolova-Walker, review of *The Soviet Proletarian Music Movement*, by Neil Edmunds, *Notes* Second Series 58/2 (2001): 362-4.

[11]Alexander Ivashkin, *Alfred Schnittke* (London: Phaidon Press, 1996), 22-3. To date, this is the only biography of Schnittke available in English.

[12]Harrison E. Salisbury, *The 900 Days: The Siege of Leningrad* (New York: Da Capo Press, 1985), 92-3; Ingeborg Fleischhauer and Benjamin Pinkus, *The Soviet Germans: Past and Present* (London: C. Hurst & Co. Publishers, 1986), 66-91.

Eastern Campaign, the Russian Campaign, and the Great Patriotic War) saw the most ferocious and brutal confrontation. It was not only a territorial conflict, but also a clash between two extremist ideologies: Fascism and Communism, an enmity between the "superior" Aryan race and the supposedly "inferior" Slavic race. The Nazi-Soviet War, often referred to as the War of Extermination, had both sides fight under their respective highest commanders who bore no regard for human life. History would document more than thirty million casualties, most of them civilians. By November of 1942, the Nazi-German army had advanced to within 30 kilometers of Moscow, besieged Leningrad, and reached the Volga city of Stalingrad. When mass executions became routine behind the Nazi frontline, the Schnittkes' life in Engels, 319 kilometers north of Stalingrad, must have seemed precarious and dire.

At the end of the war, Schnittke's father worked for a Soviet paper published for Austrians by the Russian occupying forces. This enabled the family to stay in Vienna for a two-year period from 1946 to 1948. It was during this time that Schnittke first learned how to play the piano and read music. It also provided him with the opportunity to attend many concerts and operatic performances.

When Schnittke returned to the Soviet Union in the summer of 1948, anti-Semitism had resurfaced. There were expansive persecution, suppression, and campaigns against Soviet Jews, widely known as the rootless cosmopolitans, during the years 1948-53.

Later, Schnittke explained that while the polystylistic element in his compositions from the 1960s to 1980s can be attributed to the cultural clashes he experienced during his early years, the Classical allusions, quotations, and idioms found in his later music

were a compensation of sorts for what he had missed growing up.[13] Schnittke entered the Moscow Conservatory and studied under composer Evgeny Golubev in 1953, the same year that Stalin died. Though not a prominent composer himself, Golubev impressed on Schnittke the importance of narrative and naturalness in musical discourse. These properties were directly antithetical to Schnittke's then predilection for dynamical contrasts. Yet it became apparent that Golubev's influence was long-lasting. Its manifestation can be seen in Schnittke's early polystylistic works for film collage where Schnittke switched seamlessly between different musical styles to accompany the stream-of-consciousness narratives.[14]

Except for a brief cultural thaw (1958-64), Soviet music culture was shielded from Western influences by the impenetrable Iron Curtain. For decades, Schnittke and fellow Soviet musicians had no access to Western music publications and performances. In addition, there was great pressure from the Composers' Union, headed by Tikhon Nikolayevich Khrennikov, to conform to socialist realism and become an "official" composer. When Schnittke resisted, he was blacklisted and suffered harsh censure until Mikhail Gorbachev ushered in *Glasnost* as part of the economic restructuring program, *perestroika*, in 1985.[15]

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[13]Ivashkin, *Alfred Schnittke*, 52.

[14]Ibid., 60, 110.

[15]Tikhon Khrennikov acted as the Secretary General of the Composers' Union for forty-three years. Ivashkin portrayed him as Schnittke's nemesis who acted out of jealousy to impede Schnittke's success. In fact, Khrennikov was himself an accomplished composer and active concert pianist who once studied composition with the prominent composer Vissarion Shebalin, head of the Moscow Conservatory. He also studied piano with the famous pianist and pedagogue Heinrich Neuhaus, teacher to a generation of famous Soviet pianists, including Emil Gilels, Radu Lupu, and Sviatoslav Richter. Before his appointment to the Composers' Union in 1948, Khrennikov was awarded the prestigious Stalin Prize in 1941. As head of the Composers' Union, he supported Shostakovich (1950, 1952) and Prokofiev (1951)'s award of the Stalin Prize.

Glasnost is the Russian term for openness. As a policy, it encourages maximal publicity and transparency in all levels of government and allows for freedom of dissent. Under Glasnost (1985-91), there was relaxation of censorship and greater freedom of information.

In order to subsidize his meager income as an instructor in instrumentation in the Moscow Conservatory (1962-72), Schnittke began composing incidental music for films, cartoons, and documentaries in 1962. The genre would turn out to represent two-thirds of his *oeuvre*. It also acted as Schnittke's experimental platform, one that the Composers' Union and Ministry of Culture denied him in the realm of serious music.[16] In fact, Schnittke's incidental music was fondly received by the film industry from the very beginning when success and public recognition in the serious music domain lagged far behind. It was not until 1974 that Schnittke broke from obscurity with the première of his *Symphony No.1*(1972), which received wide publicity.

In the following twelve years (1974-86), despite continual repression and difficulties presented by the Ministry of Culture and Composers' Union, Schnittke's reputation continued to grow as his music was introduced to the worldwide audience by renowned Soviet musicians such as violinist Gidon Kremer.

At a time in his life when Schnittke seemed to have freed himself largely from the stranglehold of the totalitarian regime, he became a prisoner of his own physical health. In addition to hereditary high blood pressure, in his thirties Schnittke began experiencing frequent migraines. Then in 1985, a massive brain hemorrhage put him into a coma during which leading neurosurgeons pronounced him clinically dead three times.[17] Although Schnittke recovered from this ordeal, three subsequent strokes followed and curtailed increasingly his ability to compose. Schnittke died from a fifth and final stroke in August, 1998.

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[16]Ivashkin, *Alfred Schnittke,* 106.
[17]Ibid., 130-1, 172, and 189-90.

1.2.1 Alfred Schnittke's Music and Postmodernism

Musicologist Valentina N. Kholopova mentions a tripartite division of Schnittke's *oeuvre* with which the composer concurred. According to Kholopova's description, Schnittke's output can be categorized by the "black," "grey," and "white" periods. The "black" works represent those that Schnittke repudiates and include pieces completed prior to 1966. The "grey" works, which Schnittke accepts with reluctance, include those composed between 1966 and the mid-1970s. And the "white" works which Schnittke deems his quintessentially mature works include compositions from the mid-1970s onward.[18]

Considering the fact that Schnittke conceived the idea of *stylistic hybrids* in the late 1960s and, over the course of the next several years, developed, perfected, and incorporated the concept into his polystylistic method, we can speculate that Kholopova's tripartite classification is directly related to the developmental stages of Schnittke's polystylistic method.[19] If our assumption is accurate, then based on Schnittke's approval of Kholopova's classification we can further deduce that Schnittke identifies the quality of his work with the maturity of polystylistic procedures used. In other words, Schnittke regards his creative work as quintessential polystylism.

Schnittke describes his polystylistic method as an expansion of dimension (*Dimensionserweiterung*).[20] Through quotation and allusion, his discursive practice links the past to the present and combines high art with mass culture. The resultant musical

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[18]Valentina N. Kholopova, *Kompozitor Al'fred Shnitke*, (Chelyabinsk, Russia: Arkaim, 2003), 31; quoted in Peter J. Schmelz, *Such Freedom, If Only Musical* (New York: Oxford University Press, 2009), 233-4.

[19]According to Peter J. Schmelz, who based his argument on some Schnittke's letters, the composer came to the idea of stylistic hybrids in 1968. See Peter J. Schmelz, "In the Crucible of Polystylism: Schnittke's Correspondence with Pousseur," *Mitteilungen der Paul Sacher Stiftung 24* (2011): 30-4.

[20]Ibid., 33.

discourse encourages the coexistence and expression of diverse musical styles and occupies an expanded musical space that is non-hierarchical. These properties of Schnittke's polystylism not only align with features of postmodernism described by literary theorist Ihab Hassan, but also substantiate the postmodern condition as outlined in Bakhtin's theory of dialogism and Lyotard's theory of paralogy.[21] It is for these reasons that this study bases its interrogation of issues associated with postmodernism on Schnittke's polystylistic musical texts.

In this dissertation, four musical works are chosen for analysis: Double Concerto for Oboe, Harp, and Strings (1971), Concerto for Piano and String (1979), Concerto Grosso No.3 (1985), and Concerto for Three (1994). The selection is informed by two criteria: date of completion and genre.

With the exception of the Double Concerto for Oboe, Harp, and Strings (1971) which comes from the late-grey period, all the other pieces chosen belong to the white period. Specifically, both the Concerto for Piano and String (1979) and Concerto Grosso No.3 (1985) are completed before the onset of the series of strokes which greatly affected Schnittke for more than a decade, and the Concerto for Three (1994) is likely the last complete composition of Schnittke's creative life. It is our hope to gain insight into the development of Schnittke's polystylistic method by choosing works that mark its formative years through to its mature expression.

The *concerto* is Schnittke's favorite genre because of its narrative potential. Schnittke scholar Alexander Ivashkin believes the soloist's display of fortitude and independence when standing in opposition to the orchestra speaks to Schnittke personally

[21]Ihab Hassan, "From Postmodernism to Postmodernity: The Local/Global Context," *Philosophy and Literature 25/1* (2001): 1-13; idem, "Pluralism in Postmodern Perspective," *Critical Inquiry 12/3* (1986): 503-20.

as it reflects the spirit of individuals under Soviet dictatorship.[22] The eighteen *concerti* Schnittke composed throughout his creative life constitute the pool from which we draw our musical texts for analysis. Limiting the sampling pool to one genre holds the advantage that the analytical results would not be affected by formal or idiomatic variances between different genres.

1.3 Organization of Project

Chapter 2 of our study looks at the development of narratology in general, and Byron Almén's *Theory of Musical Narrative* in particular. It then takes into consideration the philosophical aspect of postmodern music and the metaphysical nature of narratives, and proposes a theory of music narrative for postmodern music based on cognitive narratology.

Each of the subsequent four chapters, 3 through 6, focuses on a different characteristic of postmodernism in association with Schnittke's music. Chapter 3 examines immanence and phenomenological aspects and their manifestation in Schnittke's Double Concerto for Oboe, Harp, and String Orchestra (1971).

Chapter 4 looks at the concept of indeterminacy and illustrates, through formal and textual analyses, its prevalence in Schnittke's Concerto for Piano and Strings (1979).

Chapter 5 compares the related notions of *borrowing*, *intertextuality*, and *polystylism*. It then traces the genesis of Schnittke's polystylistic method and describes its procedures of implementation. By delineating various compositional devices found in Concerto Grosso No.3 (1985), the analysis demonstrates Schnittke's individualistic way

[22]Ivashkin, *Alfred Schnittke*, 168.

of employing direct quotation, allusion, and adaptation in integrating diverse and dichotomous elements into his musical discourse.

Chapter 6 introduces the postmodern phenomena of irony, paralogy, and carnivalization, and discusses their presence in the context of Schnittke's Concerto for Three (1994).

Chapter 7 steps back from the series of issues explored in Chapters 3-6 and adopts a broader perspective by presenting a philosophical outlook on postmodern music based on views expressed earlier by Bakhtin, Hassan, Jung, Lyotard, and Merleau-Ponty.

1.3.1 Notation and Terminology

Schnittke does not use measure numbers in his music. He employs instead rehearsal numbers. He also forgoes opus numbers. In this dissertation, I will refer to rehearsal numbers as "Rehearsal [X]." Because of the absence of measure numbers, rehearsal numbers become the only available and convenient place markers. Therefore, I use rehearsal numbers as section numbers instead of as mere indicators of specific points in the score. Because normally, measure numbers refer to all the beats within the boundaries of a measure, for this study rehearsal numbers will refer to all the measures within the boundaries of a rehearsal section. For example, "rehearsal [3]" is the section delimited by the measure marked "[3]" through the measure immediately before the one marked "[4]".

In the analyses of Schnittke's polystylistic works, I will use terminologies germane to the diversity of musical styles as identified in the music. For example, in music sections which are putative allusions to or written in the style of tonal music, terminologies pertinent to tonal music will be adopted. That is, intervals will be described

with terms like “perfect fifth” and “tritone” instead of “belonging to interval class 5” or “belonging to interval class 6.” This practice does not imply, however, that Schnittke’s polystylistic music should be construed as being predominantly tonal or, for that matter, belonging to any one particular style. My decision to use multiple systems of terminologies is based on my conviction that a system of terminologies that belongs exclusively to a particular musical style by convention conveys and offers a better description of the music concerned than would a more general system of terminologies applicable to several musical styles.

CHAPTER 2

A THEORY OF MUSICAL NARRATIVE FOR POSTMODERN MUSIC

2.1 Introduction to Musical Narrative

2.1.1 A Short Narrative of Narratology

The discussion that follows is cast as a narrative of the development of narratology, which we will apply to postmodern music in general and the music of Alfred Schnittke in particular. For this purpose we adopt Gerald Prince's definition of *narrative* as an entity that "is analyzable as the representation of one (or more than one non-randomly connected, non-simultaneous, and non-contradictory) transformation of one (or more than one) state of affairs, one (or more than one) event which is not logically presupposed by the transformed state and/or does not logically entail its transform."[23]

As will become clear, the genesis and evolution of narratology is difficult to chronicle. David Herman attributes this difficulty to the "complex interplay of intellectual traditions, criticotheoretical movements, and analytic paradigms distributed across

[23]Gerald Prince, "Surveying Narratology," in *What is Narratology? Questions and Answers Regarding the Status of a Theory*, ed. Tom Kindt and Hans-Harald Müller (Berlin: Walter de Gruyter, 2003), 5-6.

decades, continents, nations, schools of thought, and individual researchers."[24] Instead of attempting what might be an insurmountable task of providing a comprehensive account of the history of narratology, the following section draws in broad strokes a rough sketch of the discipline by highlighting key contributions and transformations without necessarily supplying causal or chronological details.

Narratology, the anglicisation of the French term *narratologie* coined by Tzvetan Todorov in his *Grammaire du Décaméron* (1969), refers to "une science qui n'existe pas encore, … la science du récit." (a science which does not exist yet, … the science of narrative.)[25] Todorov belongs to a group of French structuralist theorists whose work is influenced strongly by the development of structuralism in the 1950s by Swiss linguist Ferdinand de Saussure and the newly translated works of Russian formalists and philologists like Boris Eikenbaum, Vladimir Propp, Viktor Shklovsky, and Boris Tomashevsky. It was during the mid-1960s to early 1970s, around the time of the invention of the term *narratologie*, that the development of what later became known variously as *French structuralist narratology*, *classical narratology*, or simply *structuralist narratology*, reached its pinnacle before being contested and undermined by deconstructionism as introduced by Jacques Derrida, and by the post-structuralist ideas of philosophers such as Michel Foucault and Julia Kristeva.

In fact, the study of narratives began well before the coinage of *narratologie* or the founding of the French structuralist school of narratologists. Discussions of literary concepts like *mimesis* (enactment or imitative representation), *diegesis* (verbal

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[24]David Herman, "Histories of Narrative Theory (I): A Genealogy of Early Development," in *A Companion to Narrative Theory*, ed. Tom James Phelan and Peter J. Rabinowitz (Malden: Blackwell Publishing, 2005), 20.

[25]Tzvetan Todorov, *Grammaire du Décaméron* (The Hague: Mouton, 1969), 10. Author's own translation.

description or narration), plot structure, character, style, causation, and unity can be found in Plato's *The Republic* (360 B.C.) or his student Aristotle's *Poetics* (335 B.C.). With the exception of Sir Philip Sidney's *An Apology for Poetry* (1595) where Sir Sidney defended the place of poetry in a puritanical and prudish British society by emphasizing its ethical function, scholarship on literary studies turned obscure until the nineteenth century. Currently, there exist two different but equally well-accepted accounts to the development of narratology. One follows a dual paradigm and the other a three-stage schema.[26] While geography and ideological traditions are mostly responsible for the typology of the dual paradigm, chronology and the degree of infusion of structuralism define that of the three-stage schema. The dual paradigm comprises the structuralist tradition and *Erzähltheorie*, the German-speaking research tradition of narrative theory as represented by theorists like Käte Friedemann, Robert Petsch, Günther Müller, Wolfgang Kayser, Eberhard Lämmert, and Franz Karl Stanzel.[27]

2.1.1.1 The Three-Stage Schema: The Pre-Structuralist Phase

As its name implies, the three-stage schema comprises three phases: the pre-structuralist, the structuralist, and the post-structuralist. The pre-structuralist phase began in the mid-nineteenth century and continued roughly for a century until literary studies took on a structuralist bent in the middle of the twentieth century. The pre-structuralist period is characterized by its investigation of basic concepts and structural units of

[26]Anja Cornils and Wilhelm Schernus, "Theory of the Novel, Narrative Theory, and Narratology," in *What is Narratology? Questions and Answers Regarding the Status of a Theory*, ed. Tom Kindt and Hans-Harald Müller (Berlin: Walter de Gruyter, 2003), 137-43.

[27]Ibid., 140. For the purpose of our discussion, we shall confine ourselves to the delineation provided by the three-stage schema because it provides a clearer representation to the background of transmedial and transdisciplinary narratology.

narratives such as plot, character, distance, and form. Contributions came from three general groups: Anglo-American critics, Russian Formalists, and Czech Structuralists.

2.1.1.1.1 Anglo-American Critics

At the end of the nineteenth century, literary criticism was rooted predominantly in extrinsic referentiality. The adopted approach, be it biographical, psychological, historical, sociological, cultural, empirical, or impressionistic, emphasized aspects external to the composition and text of the literary work itself. In America, the first decade of the twentieth century saw an intensification of this extrinsic trend as literary critics led by Irving Babbitt, Paul Elmer More, Norman Foerster, and Stuart Sherman followed the humanist approach, intending to bring back the moralistic high ground of past civilizations. In Britain, Edward Morgan Forster and Frank Raymond Leavis represented two ardent supporters of the humanist approach. In addition to discussing the craft of storytelling in his *Aspects of the Novel* (1927), E. M. Forster drew attention to the social injustice and inequality in British society by frequently portraying such themes in his novels. Fellow Cambridge scholar F. R. Leavis similarly propounded a correlation between the composition of a literary work and the moral quality of its author.[28] As Leavis sees it, the great authors' recalcitrant adherence to good form is a reflection of their high level of morality. A corollary of such belief is that any work that displays an inferior formal structure is a reflection of its author's poor moral conscience. Henry James's 1884 essay *The Art of Fiction*, where he argued for a writer's uttermost creative freedom, and the many book reviews and essays where he critiqued fellow novelists

[28]Michael Bell, "F. R. Leavis," in *The Cambridge History of Literary Criticism, Vol.7, Modernism and the New Criticism*, ed. A.Walton Litz, Louis Menand, and Lawrence Rainey (Cambridge: Cambridge University Press, 2001), 393.

constituted an important body of work for the Anglo-American group. It is widely believed that English writer Percy Lubbock's *The Craft of Fiction* (1926) achieved nothing more than adopting and codifying James's aesthetics in literary criticism. But as Timothy P. Martin points out, the difference between the two critics resides in their fundamental conception of the novel and its role. Henry James was a mimetic critic who viewed literature not only as a part of life but also a reflection of it, whereas Lubbock saw it as an autonomous closed form of art that is life itself.[29] In fact, this ideological schism epitomizes the then-international narratological scene and its two camps: one that espouses literature's mimetic function and regards it as a means to some cultural, moral, social or political end, and the other that sees literature as an art form that is an end in itself.

According to Wilbur Scott, the emergence of New Criticism in the 1920s and, later, the Chicago School of literary criticism in the 1930s was a reaction to "the Victorian and Neo-humanist emphasis on the moral uses of literature, the academic interest in historical and literary tradition and the biography of the author, and willingness of impressionists to make of each literary experience an odyssey of the critic's personality. It is also likely there was some reaction against the Marxist's stress on social values, and the psychological stress on the neuroses of writers."[30] Echoing this view, Mark Jancovich writes that the theories and methods formulated by the three central figures of the New Criticism movement, John Crowe Ransom, Allen Tate, and Robert Penn Warren, were largely "in opposition to two alternative approaches to literature: neo-

[29]Timothy P. Martin, "Henry James and Percy Lubbock: From Mimesis to Formalism," *Novel: A Forum on Fiction* 14/1 (1980): 20-9.

[30]Wilbur Scott, *Five Approaches of Literary Criticism* (New York: Collier Books, 1968), 180-1; quoted in R. N. Shrivastava, *Literary Criticism in Theory and Practice* (Delhi, India: Atlantic Publishers and Publishing, 2004), 1.

humanism and Stalinist Marxism. However, they were also opposed to the emphasis on philology, source-hunting, and literary biography which was then dominant within the academy."[31]

The New Critics and the Chicago critics were formalists who adopted an intrinsic approach and disengaged themselves from all exogenous persuasions on the literary text. The New Critics deemed the literary text a self-contained system that finds unity and autonomy in its constituent elements and their complex and ever revolving interrelationships. It is through these endless structural transformations that the system derived its organic nature. To the New Critics, the meaning of literature is expressed through its dynamic linguistic form, which is inseparable from the text. Moreover, they believe that literary (or aesthetic) discourses should be distinguished from rational (or scientific) discourses and assessed accordingly. Unlike rational discourses, literary discourses depict neither synopses nor scenarios of reality but embody reality in its entirety through their forms. Their value thus lies not on their efficacy in conveying meaning but in their unique linguistic forms. Literary theorist William Kurtz Wimsatt, Jr. refers to aesthetic discourse as a *verbal icon* because "it *is* what it represents; it does not simply refer to the complexity and individuality of some external object but rather its form is itself an example of such complexity and individuality."[32] For as much importance as the New Critics put on linguistic forms, they stressed that there is no ideal form, because irony and paradox are naturally born of literary structures whose constituent elements are many and their interrelations complex. Form does not contain or express the meaning of literary text mechanically through its physical being. Instead,

[31]Mark Jancovich, "The Southern New Critics," in *The Cambridge History of Literary Criticism, Vol.7*, 204.
[32]Jancovich, "The Southern New Critics," 207.

form is regarded as a perpetually changing process through which the meaning of the text is derived dynamically.

The Chicago School of literary criticism sprang up in the 1930s under the leadership of Ronald Salmon Crane.[33] Although the New Critics and the Chicago critics shared the ambition of steering literary criticism away from the influence of extrinsic traditions, the Chicago critics resisted New Criticism's unmitigated incredulity of historical scholarship. Instead of an indiscriminate rejection of the entire lore of narrative studies the Chicago school, commonly regarded as a splinter group of New Criticism, brought in reform through reconstruction and revivification of well-established theories.[34] The main principle and objective of the group, as described by R. S. Crane, was "to explore the possibility of a general critique of criticism (defined as any reasoned and systematic discourse about the poetic arts and their products) such as might yield objective criteria for interpreting the diversities and oppositions among them and for judging the comparative merits of rival critical schools."[35]

2.1.1.1.2 Russian Formalists

The second group of theorists contributing to the pre-structuralist period was Russian Formalists who came to prominence in the mid-1910s.[36] These literary theorists purported to transform literary studies into a science with its own epistemological

[33]Core members of the Chicago School included William Rea Keast, Richard McKeon, Norman Maclean, Elder Olson, and Bernard Weinberg.
[34]Shrivastava, *Literary Criticism*, 2-3.
[35]R. S. Crane, *Critics and Criticism: Essays in Method* (Chicago: Chicago University Press, 1957), vi; quoted in Shrivastava, *Literary Criticism*, 5-6.
[36]Russian Formalists constituted the Moscow Linguistic Circle and the Petersburg OPOJAZ (the Society for the Study of Poetic Language). Its members include Muscovites Osip Brik, Petr Bogatyrev, Roman Jakobson, and Grigory Vinokur and St. Petersburgers Boris Eikhenbaum, Viktor Shklovsky, and Yuri Tynyanov.

protocols that systematically accumulate and organize knowledge regarding *literariness*, the essence of literature, under two guiding principles:

1. It must identify as its subject of inquiry not the cultural domains concomitant to the literary process but literature itself, or more precisely, those of its features that distinguish it from other human activities.
2. It must eschew the metaphysical commitments traditionally underlying literary theory (whether philosophical, aesthetic or psychological) and approach "literary facts" directly, without presuppositions.[37]

Although much more general in scope, Russian Formalism's scientific approach to literature precedes Todorov's 1969 initiative for a science of narrative. It is important to point out that despite adopting in their study of literature an autonomous view that excluded all extraneous influences, Russian Formalists nevertheless saw literature as a mimetic art form that reflects reality.[38] Further, the two fundamental epistemological principles of Russian Formalism were perhaps the one and only operative conviction that united the scholars who came to the literary movement with diverse intellectual and ideational frames of reference and methodologies. It is in light of Russian Formalism's heterogeneity both in terms of its theorizing and methodologies and its lack of a consensual model that renowned American philosopher of science Thomas Kuhn identifies it as an "inter-paradigmatic stage" of literary scholarship rather than an aesthetic theory in its own right. Kuhn elaborates thus: "The proliferation of competing articulations, the willingness to try anything, the expression of explicit discontent, the

[37]Peter Steiner, "Russian Formalism," in *The Cambridge History of Literary Criticism, Vol.8, From Formalism to Poststructuralism*, ed. Raman Selden (Cambridge: Cambridge University Press, 2004), 16.
[38]Ibid., 18.

recourse to philosophy and to debate over fundamentals, all these are symptoms of a transition from normal to extraordinary research."[39]

2.1.1.1.3 Czech Structuralists

The "extraordinary research" for which Russian Formalism paved the way was Czech Structuralism. This third main group of contributors to narratology's pre-structuralist period burgeoned in the 1920s. In its short history, which spanned a little more than two decades (1926-48), the Prague Linguistic Circle, also known as the Prague School, expanded from its initial five founding members to a linguistic movement wherein international scholars found affiliation.[40] The large number of Russian members, and in particular the presence of former Moscow Linguistic Circle members Jakobson and Bogatyrëv, bespeak the precipitous influence of Russian Formalism. In fact the influence of Russian Formalism on Prague School doctrine is so prevalent and palpable that Russian literature scholar Victor Erlich suggested that Prague Structuralism is no more than a restatement of the "basic tenets of Russian Formalism in more judicious and rigorous terms."[41] While such a view recognizes the provenance of the Prague School ideology, it obliterates Saussurean methodology's seminal role in the formulation of Prague literary theory. In his *Cours de linguistique générale* (*Course in General Linguistics*, 1916), Swiss linguist Ferdinand de Saussure propounds the notion of

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[39]Thomas Kuhn, *The Structure of Scientific Revolution* (Chicago: University of Chicago Press, 1970), 42.

[40]The Prague School was founded by Vilém Mathesius, Roman Jakobson, Bohuslav Havránek, Bohumil Trnka, and Jan Rypka. Notable scholars who identified with the Prague School include Jan Mukařovský, Vladimir Skalička, René Wellek, Josef Vachek, Silesian specialist in comparative linguistics Friedrich Slotty, and Russian linguists Nikolaj Sergeevič Trubeckoj, Sergej Josifovič Karcevskij, Petr Bogatyrëv, and Dmitri Chizhevsky.

[41]Victor Erlich, "Russian Formalism," in *Princeton Encyclopedia of Poetry and Poetics: Enlarged Edition*, ed. A. Preminger (Princeton: Princeton University Press, 1974), 727; quoted in Peter Steiner, "Russian Formalism," in *The Cambridge History of Literary Criticism, Vol.8,* 15.

understanding language as an interconnected semiotic system. The Prague school adopted Saussure's idea in literary analysis whereby the meaning of text is derived from the interrelations among different semiotic elements in the literary structure. Similar to Russian Formalists' aesthetics, Prague structuralists believed in the autonomy of literature in which the value of literary works is free from the influence of elements extrinsic to the independent literary structures. At the same time, however, literary art is seen as an individual aesthetic structure that constitutes the totality of human culture alongside music, cinema, theatre, visual arts, architecture, and the like. As such, it reflects reality through its unique semiotic system and mode of signification. It is imperative to mention that Prague structuralism exists as the first interdisciplinary literary theory and harbinger of subsequent cross-domain approaches whereby narratives are believed to be the underlying structures to other communicative arts and activities.

2.1.1.2 The Three-Stage Schema: The Structuralist Phase

The middle structuralist period of the tripartite model of narratology development began in the 1960s and lasted until the 1980s. During this period, an ideological shift came to pass from pre-structuralist's focus on content to one that concentrated on the process. Structuralist narratologists bore a strong sympathy for the rule-governed inclinations of structuralism. Their main objectives were the formulation of universal analytical methodologies and the systematization of a common underlying structure and functional syntax for narratives.[42]

[42]Seminal contributions in this early developmental phase of narratology include Roland Barthes's strong advocation for interdisciplinary approaches to narrative analysis, his examination of the limit of structural analysis, his proposal for plurality of textual interpretation as exemplified in *S/Z* (1970), Claude Brémond and Tzvetan Todorov's individual proposals of a grammar for narratives in *La Logique du Récit* (1973) and *Grammaire du Décaméron* (1969) respectively, Gérard Genette's exploration of the

2.1.1.3 The Three-Stage Schema: The Post-Structuralist Phase

Post-structuralist narratology, the last phase of the three-stage schema, began in the 1990s and continues to the present. On the one hand, post-structuralists saw the limitation and end of developing narratology as a high science based on uncompromising rules and methodologies. On the other, they recognized narrative, with its relaxed definition, as emplotment, as the underlying figurative process that produces human experience and enables communication. With or *because of* this new epistemology, post-structuralist narrative inquiry went through a *narrative turn* (also commonly known as the *postmodern turn*, the *post-structuralist turn*, the *literary turn*, and *the textual turn*). It was a broad-spectrum variegated expansion of classical narratology that takes the form of interdisciplinary studies wherein traditional narratological concepts and models are adopted and modified to function in contexts beyond literary studies. Examples of such endeavours include implementations of narratology in law, theology, anthropology, psychology, sociology, history, organizational and communication research, cultural studies, film studies, and music.[43]

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(*Narrativik*), and *narrative research* (*Erzählforschung*) to refer to all narrative-related studies in general; and rightly so, judging from the fact that serious initiatives to bestow precise definitions upon such terms did not emerge before the 1990s. In their article "On the Relationship between the Theory of the Novel, Narrative Theory, and Narratology," Cornils and Schernus trace the origins of the terms and extensively discuss their typical usage. [44] Oftentimes, *narratology* (*Narratologie*) refers to the international form of structuralist narrative theory as emerged in the 1960s while *narrative theory* (*Erzähltheorie*) and *narrative studies* (*Narrativik*) both denote the Germanic branch of narrative theory, especially when appearing in German reference works. And *narrative research* (*Erzählforschung*) serves as a hypernym that subsumes all diverse narratological investigations. However, Cornils and Schernus conclude that despite pragmatic needs for clearer taxonomical division and definition engendered by rapid interdisciplinary expansion of narrative research, the lack of universal consensus and attending terminological confusion persist. In his description of the nomenclature of literary criticism, Mark Currie summarizes cogently the inherent deficiency thus:

> The language of literary criticism and theory has become the ugliest private language in the world. Narratology has been one of the places where the most offensive terminology has taken hold, particularly in its structuralist and poststructuralist phases. Often the problem lies in a puerile overuse of abstract nouns. . . .
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> . . . The issue of critical terminology can appear superficial, especially when much of the terminology itself seems superficial. . . . The blood of a thousand readers has

[44] Anja Cornils and Wilhelm Schernus, "Theory of the Novel, Narrative Theory, and Narratology," in *What is Narratology? Questions and Answers Regarding the Status of a Theory*, ed. Tom Kindt and Hans-Harald Müller (Berlin: Walter de Gruyter, 2003), 154-67. Recent discussions of terminological issues include: David Darby, "Form and Context: An Essay in the History of Narratology," *Poetics Today* 22/4 (2001): 829-52; David Darby, "Form and Context Revisited," *Poetics Today* 24/3 (2003): 423-37; Monika Fludernik, "History of Narratology: A Rejoinder," *Poetics Today* 24/3 (2003): 405-11; and Tom Kindt and Hans-Harald Müller, "Narratology and Interpretation: A Rejoinder to David Darby," *Poetics Today* 24/3 (2003): 413-21.

> boiled at the outright pretension of such neologisms and gestures – the pure superficiality of terms used as flags to declare a critic's allegiance to science, to history, or even just complexity for its own sake.[45]

Equal ambiguity surrounds the term *narrative* if perhaps for different reasons. Keywords like *temporality*, *causality*, *events*, and *transformation* recur as distinctive attributes of narratives, but neither is there a unanimous agreement on the essence of narrative, nor is there a comprehensive definition that finds itself applicable to all narratological studies. As Marie-Laure Ryan's enumeration of representative definitions reveals, a common set of properties frequently populates the contexts of such definitions, but none of these statements stipulates the defining elements of narrative. Ryan proposes a *fuzzy* definition for narrative and understands *narrativity* to be a property that all narrative texts possess. She writes:

> The definition proposed . . . presents narrative texts as a fuzzy set allowing variable degrees of membership, . . . (it) becomes an open series of concentric circles which spell increasingly narrow conditions and which presuppose previously stated items, as we move from the outer to the inner circles, and from the marginal cases to the prototypes.[46]

Ryan's fuzzy definition strives to be an exhaustive list that comprises all possible aspects of *all* narratives. While I concur with Ryan's definition for narrativity, I must disagree with the *fuzzy* definition suggested. Ontologically speaking, a text is either a narrative or is not. A text that possesses more narrative-related attributes does not make it more of a narrative than one that possesses less of such attributes. Instead of conceptualizing narratives as a fuzzy set whose members manifest varying degrees of narrativity according to the number of qualifying conditions they meet, I suggest we approach the

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[45]Mark Currie, *Postmodern Narrative Theory* (New York: Palgrave, 1998), 33-4.
[46]Marie-Laure Ryan, "Toward a Definition of Narrative," in *The Cambridge Companion to Narrative*, ed. David Herman (Cambridge: Cambridge University Press, 2007), 28-30.

definition of narratives through a taxonomy based on medium, genre, and form. The definitions for higher hierarchies in such a system are more inclusive and general and those for lower hierarchies are more exclusive and stringent in nature. At the highest level of the taxonomy of narrative, *narrative* is synonymous with "a story told" or as cultural theorist Mieke Bal elaborates thus:

> A *narrative text* is a text in which an agent relates ('tells') a story in a particular medium, such as language, imagery, sound, buildings, or a combination thereof. A *story* is a fabula that is presented in a certain manner. A *fabula* is a series of logically and chronologically related events that are caused or experienced by actors. An *event* is the transition from one state to another state. *Actors* are agents that perform actions. They are not necessarily human. *To act* is defined here as to cause or to experience an event. The assertion that a narrative text is one in which a story is related implies that the text is not identical to the story. If two terms clearly have the same meaning, we might as well discard one. What is meant by these two terms can be clearly illustrated by the following example. Everyone in Europe is familiar with the story of Tom Thumb. However, not everyone has read that story in the same text. There are different versions; in other words, there are different texts in which that same story is related. There are noticeable differences among the various texts. . . . Evidently, narrative texts differ from one another even if the related story is the same. It is therefore useful to examine the text separately from the story. Since 'text' refers to narratives in any medium, . . . I will use it interchangeably with 'artifact.'"[47]

As we further classify narratives into subgroups based on their forms, genres, and media, various characteristics of the subgroups emerge and are added to the group properties devolved upon them from the higher hierarchies, creating more restrictive definitions. In organization studies and management, for example, David M. Boje defines narrative as "an account of incidents or events" that has *plot* and *coherence* added.[48] In music, theorist Byron Almén adopts philosopher James J. Liszka's definition for

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[47]Mieke Bal, *Narratology: Introduction to the Theory of Narrative*, 2d ed. (Toronto: University of Toronto Press, 2007), 5-6.

[48]David M. Boje, *Narrative Methods for Organizational & Communication Research*, (London: SAGE Publications, 2001), 1.

narrative which specifies *temporality*, *hierarchy*, *conflict*, and *observer's perspective* as core properties. Almén writes:

> All narratives . . . involve *the transvaluation of changing hierarchical relationships and oppositions into culturally meaningful differences*. . . . A piece's initial musical events, configured in various hierarchical relationships, establish a network of cultural values, and the asymmetries of the initial condition and/or any subsequent changes in these relationships place these values in conflict, leading to resolution in a manner significant to the culturally informed listener.[49]

Ambiguity arises when the more stringent and narrow definitions of taxonomical sub-classes are confused with that of the super-class that subsumes them and are understood as *intensional* (or *partitio*) definition that specifies obligatory properties for members of the narrative set.[50] Referring to the aforementioned definitions for organization narrative and music narrative, it would be erroneous to exclude a narrative text from the family of narratives on the basis that it does not possess *coherence*, a property of organization narratives but not of narratives in general. It would be equally misleading if definitions for fellow sub-classes are adopted loosely. Consider, for example, music and literature, two different media that share a great number of properties including but not limited to both evincing a semiotic system that has its own syntax, grammar, and structural forms. Often, literary theories are adapted for music analysis because of the significant similarities between the two systems. In defining music narrative, for instance, properties of literary narrative are often borrowed, transcending the differences in media, and applied indiscriminately as defining attributes for music narrative. Jean-Jacques Nattiez expunges music narrative from the rank of narratives arguing that music narrativity, if present, is no more than metaphorical, and its existence is based on the fact that music

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[49]Byron Almén, *A Theory of Musical Narrative*, (Bloomington: Indiana University Press, 2008), 40-1.

[50]In set theory, an *intension* (or an *intensional* definition) of a set describes the set by listing all defining properties of its members. Another way of describing a set is by *extension*. An *extensional* definition of a set describes a set by enumerating all its members.

shares with literary narrative the property of linear chronology.[51] Much of the literature on narrativity and music emphasizes similarities and comparability between music and literature. Likewise, numerous attempts have been made to draw a parallel between music as a language and linguistics. We shall take up these topics subsequently. For now, we shall close this section with a quote from Fred Lerdahl and Ray Jackendoff:

> Many previous applications of linguistic methodology to music have foundered because they attempt a literal translation of some aspect of linguistic theory into musical terms—for instance, by looking for musical "parts of speech," deep structures, transformations, or semantics. But pointing out superficial analogies between music and language . . . is an old and largely futile game. One should not approach music with any preconceptions that the substance of music theory will look at all like linguistic theory. For example, whatever music may "mean," it is in no sense comparable to linguistic meaning; there are no musical phenomena comparable to sense and reference in language, or to such semantic judgements as synonymy, analyticity, and entailment. Likewise, there are no substantive parallels between elements of musical structure and such syntactic categories as noun, verb, adjective, preposition, noun phrase, and verb phrase.[52]

2.1.2.1 Almén's Theory of Musical Narrative

Almén's theory of musical narrative is, in his own words, the first "comprehensive attempt to map out the parameters of a *narrative* analytical method, and to illustrate such a method in all its parameters."[53] It is a direct adaptation of James J. Liszka's narratological analysis of myths as introduced in *The Semiotic of Myth*. We shall hence begin our investigation by exploring Liszka's theory.

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[51]In his article "Can One Speak of Narrativity in Music?" *Journal of the Royal Musical Association*, 115/2 (1990): 257, Jean-Jacques Nattiez writes that "music is not a narrative and that any description of its formal structures in terms of narrativity is nothing but superfluous metaphor. But if one is tempted to do it, it is because music shares with literary narrative that fact that, within it, objects succeed one another: this linearity is thus an incitement to a narrative thread which narrativizes music." At this point in our discussion, we shall content ourselves with the fact in neither literature nor music is the presence of narrativity necessarily predicated on linear temporality.

[52]Fred Lerdahl and Ray Jackendoff, *A Generative Theory of Tonal Music* (Cambridge, Massachusetts: MIT Press, 1985), 5-6.

[53]Byron Almén, "Narrative Archetypes: A Critique, Theory, and Method of Narrative Analysis," *Journal of Music Theory* 47/1 (2003): 2.

The crux of Liszka's definition for narrative is the *transvaluation* of the *markedness* and *rank* of a hierarchical system through disruption, crisis, and resolution as perceived by a culturally-informed observer. Liszka defines *transvaluation* as the re-evaluation of the asymmetrical valuations of opposed elements (*markedness*) and the valuations of relative importance and subordination (*rank*) of signs in a hierarchical system by the sign user.[54] Liszka's definition of narrative is, by and large, an assimilation of Ferdinand de Saussure's notion of *value*, Prague School theorists Roman Jakobson and Nikolai Trubetzkoy's linguistic concept *markedness*, and Charles Sanders Peirce's notions of *translation*, *sign*, and *interpretant*. We shall delve into these linguistic ideas in the next section.

Once Liszka arrives at a definition for narratives, he defines the structure of narratives and its analysis as comprised of three levels: the *agential*, the *actantial*, and the *narrative*. The *agential* level expresses the inter- and intra-hierarchical relations among the smallest semiotic units in myths (i.e. *mythemes*) through *markedness* and *rank*. The *actantial* level conveys interactions among *mythemes* and tracks resultant changes in their corresponding *markedness* and *rank*. The *narrative* level classifies narratives into four archetypal mythoi, *romance*, *tragic*, *ironic*, *comic*, according to the unfolding of their trajectory.[55]

In his transference of Liszka's archetypal theory for myth to one for music, Almén believes that "musical features themselves—gestural, topical, programmatic,

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[54]James J. Liszka, *The Semiotic of Myth: A Critical Study of the Symbol* (Bloomington: Indiana University Press, 1989), 62, 68, 71.

[55]The *agential* and *actantial* levels in Liszka's three-tier conceptualization are ideas borrowed from *sphere of action*, *dramaturgic function*, and *actant* as expounded previously by Vladimir Propp in his *Morphology of the Folktale* (1928), Étienne Souriau in his *Les deux cent mille situations dramatiques* (1950), and Algirdas Julien Greimas in his *Structural Semantics: An Attempt at a Method* (1966) respectively. The highest level in the structure, the *narrative* level, adapted Northrop Frye's archetypal theory as set forth in *Anatomy of Criticism* (1957).

syntactic, and the like—reveal the perceived hierarchy of cultural values as they are enacted according to medium-specific rules."[56] According to Almén, these musical features should convey their relative *markedness* and *rank* in the system despite the fact that *rules*, if they exist, in the musical realm are more likely stylistically-, formally-, and contextually-determined than medium-specific. It would seem then that the fundamentally two-dimensional paradigmatic and syntagmatic valuation process calls for further deliberation if not a thorough reconsideration. In the following section, we shall examine Almén's theory, and the development of a theory of musical narrative in general, from three different frames of reference and a practical, a philosophical and an epistemological argument will be presented.

2.1.3 Three Considerations Regarding the Development of a Theory of Musical Narrative

2.1.3.1 Veracity and Applicability

As mentioned before, Almén's theory of narrative is a fusion of several concepts, among which are Peirce's notions of *sign*, *interpretant*, and *translation*, Saussure's concept of *value*, and Jakobson's *markedness*.

Peirce's concept of sign is a triadic composition of *representamen*, *object*, and *interpretant*. It replaces Saussure's dyadic *signifier-signified* relation with the addition of the *interpretant*. Loosely understood as *significance* or *an act of interpretation*, the *interpretant* mediates between the *object* and its representation, which creates an interdependent triadic relationship. According to Peirce, the role of these three

[56]Almén, *Theory of Musical Narrative*, 55.

components of the sign system is far from determinate. In the course of its action or *semiosis,* each element of the Peircean sign can evolve into each other: *representamen* may become a semiotic object, or an *interpretant* may become a *representamen,* etc. Moreover, the interpretant representing the significance of a sign calls for another sign to explicate it, evoking what amounts to an unending chain of signs. That is, *infinite semiosis*.[57] The role "a culturally informed listener" plays in Almén's theory ties in with the part of social convention in Peirce's classification of signs. Peirce divides signs into three categories: *icon, index*, and *symbol*. An icon bears a resemblance to the object it relates to, an index relates to its object by some causal connection, either actual or imagined, and a symbol relates to its object through some entrenched common practice, that is, social convention. Musical signs can be iconic, indexical, or symbolic.

Drawing examples from Schnittke's compositions that will be studied more closely in the following chapters, we review the three types of musical signs. Iconic musical signs include the imitation of a sigh in the form of descending minor seconds

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[57]Peirce himself did not use the term *infinite semiosis,* yet he described the process thus:

> A sign, or representamen, is something which stands to somebody for something in some respect or capacity. It addresses somebody, that is, creates in the mind of that person an equivalent sign, or perhaps a more developed sign. That sign which it creates I call the interpretant of the first sign. The sign stands for something, its object. It stands for that object, not in all respects, but in reference to a sort of idea, which I have sometimes called the ground of the representamen. . . . If a Sign is other than its Object, there must exist, either in thought or in expression, some explanation or argument or other context, showing how—upon what system or for what reason the Sign represents the Object or set of Objects that it does. Now the Sign and the Explanation together make up another Sign, and since the explanation will be a Sign, it will probably require an additional explanation, which taken together with the already enlarged Sign will make up a still larger Sign; and proceeding in the same way, we shall, or should, ultimately reach a Sign of itself, containing its own explanation and those of all its significant parts; and according to this explanation each such part has some other part as its Object. According to this every Sign has, actually or virtually, what we may call an explanation according to which it is to be understood as a sort of emanation, so to speak, of its Object.

(Charles Sander Peirce, *The Collected Papers of Charles Sanders Peirce*: *Volume 2 Elements of Logic*, ed. Charles Hartshorne and Paul Weiss [Cambridge, Massachusetts: The Belknap Press of Harvard University Press, 1960-1966], 2.228, 2.230). References to Peirce's *Collected Papers* are by convention stated as volume number and paragraph number separated by a dot.

found permeating an entire section in Double Concerto for Oboe, Harp, and String Orchestra (1971), the formal structure of Music for Piano and Chamber Orchestra (1964) developed after a tree structure, and *Passacaglia* (1979) structured as per ocean waves in nature with orchestral instruments mimicking the movement of overlapping waves; indexical musical signs include the use of Bach and Berg's monograms in Concerto Grosso No. 3 (1985) and direct quotations of material from Beethoven's *Grosse Fuge* and Orlando di Lassus's *Stabat Mater* in String Quartet No.3 (1983); and symbolic musical signs include Schnittke's frequent allusions to and adaptations of various styles, forms, and genres from different musical periods in his compositions (Double Concerto for Oboe, Harp, and String Orchestra (1971) and Concerto Grosso No. 3 (1985) will be discussed in greater analytical detail in Chapter 3).

In Peirce's theory of signs, the meaning of a sign resides in *translation* whereby the sign is being expressed by another sign, either in the same or in a different system. To avoid the prospects of being caught up in an infinite chain of semiosis, Peirce amended his translation theory of meaning in 1907. The revised version of the theory allows a sign to be translated into habit, action, and feeling, thus ending the sempiternal course of explication in fulfillment by realization.[58] In adapting Peirce's translation theory, Almén acknowledges that the meaning of signs resides in the process of translation. And by employing the example of a very low trill figure in the first movement of Schubert's posthumous Sonata D.960, he intends to show that the unconventional interruption caused by the trill figure signifies psychodynamic, historical, and interpersonal difficulties that one may have experienced. He writes:

[58]Thomas L. Short, "Peirce on Meaning and Translation," in *Translation Translation*, ed. Susan Petrilli (Amsterdam: Rodopi, 2003), 229-30.

> What we call the meaning of a musical event is found in that rule of translation by which we signify it by a *more explicit* sign in a different system. . . . sign translation involves an isomorphic relationship between the two systems. . . . meaning emerges from the relations between elements and the rules of organization within a system. Translation between systems—hence, meaning—is possible because there are rules in each system that perform similar or symmetrical or parallel functions. . . . we can recognize that rules in a musical system mirror those in human psychology and society. Indeed, this is one powerful motivating impulse in music—the articulation of meaningful dynamic relations not adequately expressed through historical or personal events.[59]

Although Almén postulates that the meaning of signs rests in the process of translation, he fails to illustrate how the trill figure goes through the translation process and is replaced by other isomorphic signs. Instead, Almén tells us that the appearance of the trill figure causes disruption to the overall flow of the musical process and such disruption resembles difficulties the listener may have experienced in life, thus drawing the conclusion that the trill figure signifies interruption, hardship, trial, etc. While the trill figure acts as an indexical sign and signifies disruption in Schubert's Sonata D.960, it has not been made clear which sign in the psychodynamic, historical, or interpersonal system has been chosen to replace it in the translation process. If such a sign does exist, then it must have been chosen on the basis that it possesses and performs a parallel relation and function in the system it is chosen from. That is, it causes disruption in the psychodynamic, historical, or interpersonal system in like manner and similar magnitude. Since such a sign as described has not been identified, we conjecture that for Almén's argument to assume any degree of logical validity, the trill figure must be considered a symbolic sign that relates directly to the sense of disruption. Furthermore, there must exist some well-established rules that specify the relation between the trill figure and the

[59]Almén, *Theory of Musical Narrative*, 43-5, The trill figure in Schubert's D.960 has been well commented on, including by Richard Cohn in his article "As Wonderful as Star Clusters: Instruments for Gazing at Tonality in Schubert," *19th-Century Music* 22/3 (1999): 213-32.

sense of disruption, for Peirce reminds us that "a *symbol* is a sign which refers to the Object that it denotes by virtue of a law, usually an association of general ideas, which operates to cause the Symbol to be interpreted as referring to that Object."[60] However, unlike linguistic signs, which categorically belong to the class of symbols, musical signs lack propositional content and the ability to predicate. Moreover, they are rarely referential. There may be musical figures like the descending minor second which is commonly understood as signifying the sigh. However, like all musical elements and gestures, the descending interval does not carry a fixed, implicit semantic meaning in each and every of its occurrences across all musical styles, periods, and traditions. Its prevalence is hardly universal or governed by any musical law; rather, it is context-dependent.

After extensive research in cognitive science and music-language relations, neuroscientist and musician Aniruddh D. Patel takes into consideration findings of ethnomusicologists and concludes that given the diversity of Western culture and human cultures as a whole, it would be impracticable to assign a universal set of meanings to music.[61] As symbols are generated by culture, they are also subjected to societal and historical changes. A poignant example would be the idea of dissonance in Western music culture. During the early Renaissance era (circa 1400-1500), the perfect fourth interval (*diatessaron*) was considered a dissonance. Yet by the common practice period (circa 1600-1900), it was already accepted as a consonant interval when it occurred between the treble parts. The expansion of consonance continued and culminated in the drive towards "emancipation of dissonance" in the 1920s. Taken as a musical symbol, it

[60]Peirce, *The Collected Papers: Volume 2 Elements of Logic*, 2.249.
[61]Aniruddh D. Patel, *Music, Language, and the Brain* (New York: Oxford University Press, 2008), 301.

would be impossible to ascertain a perfect fourth's semantic meaning unless we avail ourselves of its musical context.

In *Cours de linguistique générale*, Saussure explains that the *value* of a sign is determined by its relation to similar signs of the same nature and also to things that are foreign to its nature, like a concept, with which the sign can be substituted or exchanged. More specifically, Saussure points out that the value of linguistic terms is a combination of their *syntagmatic* and *associative* relations. Words that appear linearly in a sequence form a *syntagm*, and the syntagmatic value of a word is derived from its relation to the words that precede and follow it. The associative relations of a word (later renamed *paradigmatic* relations by Roman Jakobson) of a word arise from its similarity in signification, form, or sound to other words.[62] Like Liszka, Almén couples a sign's paradigmatic value with *markedness* and its syntagmatic value with *rank*, thus calibrating the overall value of any musical sign. For the time being, Almén seems to have avoided the impasse of having to define a musical sign's semantic value by implying there are direct correlations between a sign's paradigmatic value and markedness, and likewise between its syntagmatic value and rank.

Markedness is a principal linguistic notion first conceived in 1921 by Prague School theorists Roman Jakobson and later applied by Nikolai Trubetzkoy in 1931. Trubetzkoy used it to describe hierarchical differences inherent in phonological polar oppositions exclusively while Jakobson applied it also to morphological, grammatical,

[62]Ferdinand de Saussure, *Cours de linguistique générale*, ed. Charles Bally and Albert Sechehaye, trans. Wade Baskin (New York: Philosophical Library, 1959), 111-27.

and lexical binary relations.[63] In the nine decades since, markedness has been applied in fields as disparate as literary studies, mathematics, behavioral studies, culture, and the arts. Almost as varied as its fields of application are the definitions, theories, and approaches behind the concept. Edna Andrews notes that even between the two proponents of the thesis, the definitions for *markedness* and its related terms like *opposition* remained equivocal.[64] In addition to being a contentious subject, the concept of *markedness* is also complicated by several well-known issues; most of which are associated with the determination of marked/unmarked entities and the definition of markedness.

When applying markedness to music hermeneutics, two apposite concerns are: (1) *Marked* and *unmarked* elements are usually distinguished by their degree of naturalness and universality, with the unconventional and infrequent considered marked and the ordinary and commonplace considered unmarked. It needs to be ascertained that the choice of marked and unmarked entities and the criteria upon which they are chosen do reflect the structure and its overall transformations. Difficulty arises when some properties do not lend themselves to descriptions in duality but plurality. Consider, for example, pitch organization. Between tonality and atonality, the former may be considered marked and the latter unmarked in the music of the Second Viennese School. But in much music of the twentieth century, pitch organization is often much more complex, traversing multiple structural schemes. Frequently, compositions in this repertoire exhibit a combination of different tonalities (e.g., microtonality, polytonality,

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[63]Edna Andrews, *Markedness Theory: The Union of Asymmetry and Semiosis in Language*, (Durham: Duke University Press, 1990), 13-9; Edwin L. Battistella, *Markedness: the Evaluative Superstructure of Language*, (Albany: State University of New York Press, 1990), 1.

[64]Andrews, *Markedness Theory*, 13.

and neotonality), atonality, scales (e.g., pentatonic, whole-tone, diatonic, octatonic, and chromatic), or modes (e.g., modes of limited transposition and the church modes). In such cases, the different elements exist in a pluralistic relationship that renders markedness unfit for reflecting the paradigmatic dynamics. (2) Related to the previous issue is the question of uncovering *markedness hierarchies* and striving for consistency in the determination and application of markedness as a whole. *Markedness hierarchies* refer to different features of the system. Within each hierarchy, there exist multiple elements whose markedness is determined relative to other elements on the same hierarchy. It is not only imperative to identify markedness hierarchies that represent the system under study, but also to investigate the extent to which the identified markedness hierarchies are cogent to comparable systems in general rather than (merely) idiosyncratic. In the music domain, markedness hierarchies can be defined for properties like sonority, timber, meter, and orchestration, etc. But the question remains whether such markedness hierarchies and markedness relations would be relevant and consistent across-the-board for all musical styles and cultures, or whether they should be redefined anew for different musical contexts. Given the wide variety of musical styles and cultures, one might surmise that markedness hierarchies and relations representative of each system would differ. If this is the case, a kindred issue arises with regard to the definition and applicability of markedness in polystylistic contexts where multiple musical styles not only coexist but intertwine spatially and temporally. Robert Hatten, who brings markedness into music hermeneutics through his book *Musical Meaning in Beethoven: Markedness, Correlation, and Interpretation*, raises several issues after his discussion of the concept, first among which concerns the general applicability of markedness. He writes:

> It is unclear to what extent markedness applies in a given musical style (how much, and on what levels, does it explain), or the extent of its applicability to a variety of musical styles. I focus principally on Beethoven in this study, where I believe a case can be made.[65]

With Hatten's exhortation in mind, before applying Almén's theory to postmodern music where polystylism is common, it would be necessary first to identify all the musical styles involved and determine the applicability of markedness in each of the styles identified. The task may involve the determination of paradigmatic relations for chance music, music involving stasis, music with open form, experimental music, fragmented music, and a myriad of other typical postmodern musical styles that resist systematic analysis and do not submit well to conventional theories. Once markedness is deemed applicable in all musical styles involved, the implementation of Almén's theory should then be tailored to take into account the interplay and relative hierarchical relations of the diverse musical styles.

Rank, also known as *hierarchy* or *hypotaxis* in phonology, describes asymmetric syntagmatic relationships. Michael Shapiro concurs on the paramount importance of context in both markedness and rank, and goes on to point out that the two concepts are in fact so highly context-dependent that rank categories evincing universal markedness are few.[66] Although Almén recognizes the significance of context in the definition of markedness and rank, he neither specifies the musical styles he focuses on, nor does he identify the rank orders or the gamut of markedness hierarchies and markedness elements. Instead, Almén's theory is an ambitious attempt that intends to cover not merely isolated

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[65]Robert S. Hatten, *Musical Meaning in Beethoven: Markedness, Correlation, and Interpretation* (Bloomington: Indiana University Press, 1994), 65.

[66]Michael Shapiro, "Presidential Address: The Boundary Question," *The American Journal of Semiotics* 10 (1993): 17-8.

individual styles but, by and large, the entire western music culture.[67] Yet, such a loose delimitation on context strains the applicability of markedness and rank. Consequently, it fractures the very grounds of his theory of musical narrative.

2.1.3.2 Philosophical Aspects of Postmodern Music

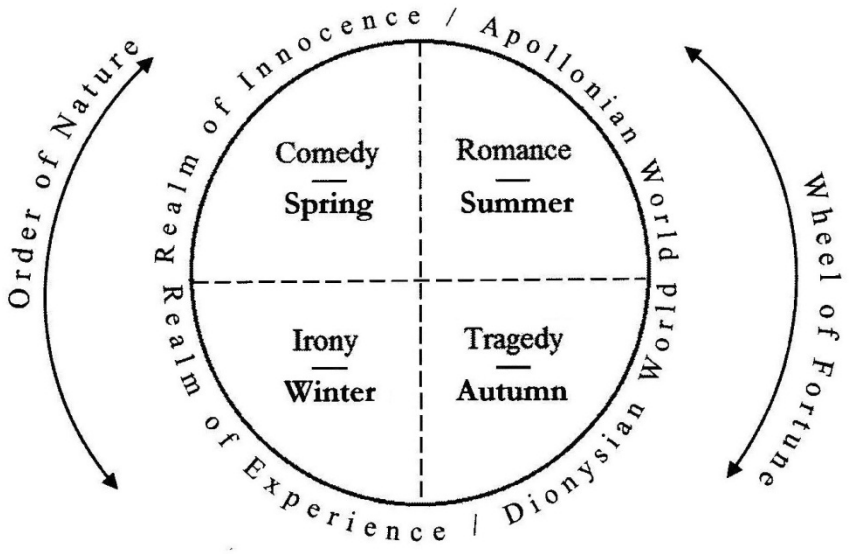
In this section, I trace the source of inspiration for Almen's narrative theory back to Liszka's archetypal theory in *The Semiotic of Myth*, and from there to Northrop Frye's cyclic model in *Anatomy of Criticism*. I then explain why such reductionist classification schemas are inappropriate for the study of postmodern literary and musical expression.

Northrop Frye's *Anatomy of Criticism* enjoyed a tremendous reception in the decade that followed its 1957 publication.[68] According to some, Frye's archetypal criticism has established itself as a classic of the twentieth century; a masterpiece of modern critical theory.[69] In this collection of four theoretical essays, Frye attempts to describe and systematize literature scientifically, based on recurring underlying structural patterns. Each of the four essays deals with a different categorization. The first, the Theory of Modes, classifies literary works into five characterizations (mythic, romantic, high mimetic, low mimetic, and ironic) as defined by the protagonist's relation to the setting of the work. The second, the Theory of Symbols, describes five different levels of literary symbolism (literal, descriptive, formal, archetypal, and anagogic), to which the contextual meaning of a literary work belongs. The third, the Theory of Myths, outlines four underlying archetypes or mythoi (comedy, romance, tragedy, and irony) that dictate

[67]Almén, *Theory of Musical Narrative*, x.
[68]Northrop Frye, *Anatomy of Criticism: Four Essays* (Princeton: Princeton University Press, 1957)
[69]Brian Coates, "Anthropological Criticism," in *The Cambridge History of Literary Criticism, Vol.9, Twentieth-Century Historical, Philosophical and Psychological Perspectives*, ed. Christa Knellwolf and Christopher Norris (Cambridge: Cambridge University Press, 2001), 269.

the unfolding of narratives.[70] And the fourth, the Theory of Genres, discusses the four structural principles (epos, prose, drama, and lyric) of literary works as determined by the author's chosen method of presentation in relation to the audience. Of special interest is Frye's setting forth of his cosmological view of literature in the form of a cyclic archetypal model. Frye never included any of his graphical sketches of the circle of mythoi in his publications. From his notebooks and diaries, however, one gleans different versions of a Jungian mandala. Frye describes his circle as comprised of four quadrants, with each quadrant representing one of the four mythoi (Figure 2-1).

Figure 2-1. The four mythoi as described in Frye's cyclic model



Moving in a clockwise direction, comedy and romance occupy the upper half of Frye's wheel and belong to the realm of innocence. Tragedy and irony occupy the lower half of the wheel and belong to the realm of experience. Frye likens the relationship between the

[70] In his text, Frye also refers to the four mythoi as narrative "pregeneric" elements to signify the fact that they are different from and broader in definition than classical literature genres that share the same names.

upper and lower halves to the Apollonian and Dionysian dichotomy. Further, each of the four archetypes is tied in with one of the four seasons: comedy is paired with spring, romance with summer, tragedy with autumn, and irony with winter. The wheel rotates according to the order of nature and the medieval concept of the wheel of fortune (also known as the wheel of fate and *Rota Fortunae*, it is controlled and spun by goddess Fortuna in a random and unpredictable manner). In accord with ancient Greek tradition, Frye does not recognize the Apollonian and Dionysian worlds to be antithetical. Likewise, Frye does not reckon there to be any clean breaks between adjacent mythoi. Instead, characters ascend and descend between the two worlds as seasons blend into each other. Frye further defines six phases within each mythos, giving rise to the genres *speculum consuetudinis*, *the quixotic phase*, *comic norm*, *romantic comedy*, *utopian/arcadian*, and *collapse and disillusion of comic society* within the comedy mythos alone. In reference to such an elaborate design, John Arye offers a most succinct description: "the cross in a circle. The vertical line represents the *axis mundi* of inspiration or spirituality and the horizontal line represents middle earth or mundane life."[71]

In Liszka's adaptation, Frye's four mythoi are conceived as being generated by tension brooding in a hierarchical context. They function as basic strategies that narratives follow when working out the conflict and transgression of order between the hierarchies. The following summarizes the modified taxonomy:

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[71] John Arye, "Northrop Frye and the Chart of Symbolism," in *Northrop Frye: New Directions from Old*, ed. David Rampton (Ottawa: University of Ottawa Press, 2009), 171. Description of Frye's mandala can also be found in Frye, *Anatomy of Criticism*, 162, 177; idem, *Fools of Time: Studies in Shakespearean Tragedy* (Toronto: University of Toronto Press, 1967), 13-4; and John Ayre, "Frye's Geometry of Thought: Building the Great Wheel," *University of Toronto Quarterly* 70/4 (2001): 825-38. Scholars who have provided a graphic realization of Frye's mandala include Everett C. Frost (reproduced in Arye's article "Frye's Geometry of Thought") and Robert D. Denham (in *Northrop Frye and Critical Method* [University Park: The Pennsylvania State University Press, 1978]).

> The four literary categories can be, firstly, divided into those which emphasize the victory of one hierarchy over another (comedy, romance), and those which emphasize the defeat of one hierarchy by another (tragedy, satire/irony). Within each of these divisions, the difference between comedy and romance, on the one hand, and tragedy and satire/irony, on the other, is clear. . . . From the perspective of victory, the result is recognition, in its most general sense, of the obsessiveness or unnaturalness of the imposing order and, at the same time, the propriety of the new order (*anagnorisis*/comedy); or, the result is successful *agon* (romance), the defeat of the other, negative order. From the perspective of defeat, there is the result of *pathos* (tragedy), the defeat of transgression, or, on the other hand, *sparagmos* (irony), the defeat of illusory ideals or exposure of the absurdities of an imposing order.[72]

Liszka's reformulation dispenses with the original model's cyclicity. Liszka also argues against Frye's postulation of a central mythos uniting the four mythoi and the idea of interrelatedness among the mythoi on the basis that any interrelatedness would contradict the basic schema where the four archetypes are combinations of the victory/defeat and order/transgression dichotomies. In other words, division among the four strategies is clear-cut.[73]

Regardless of whether it is Frye's twenty-four-phase cyclic model or Liszka's four-division classification, their pertinence in relation to postmodern literature and music is questionable. Long before the publication of Liszka's *The Semiotic of Myth* in 1989, the influence of Frye's archetypal theory had been undermined and contested in the 1960s by theories like deconstructionism, post-structuralism, and feminism, with the strongest opposition originating from the postmodernists.[74]

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[72]Liszka, *The Semiotic of Myth*, 133.

[73]Ibid., 129-34. The unordered combinations of the victory/defeat and order/transgression dichotomies are manifested as victory + order (romance), victory + transgression (comedy), defeat + order (irony), defeat + transgression (tragedy).

[74]Reviews of Frye's theory abound, some of which include Arnd Bohm, "Northrop Frye: The Consolation of Criticism," *Monatshefte* 95/2 (2003): 310-7; Alvin A. Lee, "Frye, Northrop," in *Encyclopedia of Contemporary Literary Theory: Approaches, Scholars, Terms*, ed. Irena R. Makaryk (Toronto: University of Toronto Press, 1993), 324-6; Richard E. Palmer, "Postmodernity and Hermeneutics," *boundary 2* 5/2 (1977): 363-94; Sanford Schwartz, "Reconsidering Frye," *Modern Philology* 78/3 (1981): 289-95; and Richard Stingle, "Frye, Northrop," in *The Johns Hopkins Guide to Literary Theory &*

Literary critic Ihab Hassan, who was chiefly responsible for introducing and bringing the terms *postmodern*, *postmodernity*, and *postmodernism* to widespread circulation suggests the concepts to be transdisciplinary.[75] While *postmodernity* refers to a geopolitical process sometimes known as postcolonialism, which finds expression in globalization and localization, *postmodernism* refers to a cultural phenomenon. Of postmodernity, Hassan elaborates thus:

> Think of postmodernity as a world process, by no means identical everywhere yet global nonetheless. Or think of it as a vast umbrella under which stand various phenomena: postmodernism in the arts, poststructuralism in philosophy, feminism in social discourse, postcolonial and cultural studies in academe, but also multinational capitalism, cybertechnologies, international terrorism, assorted separatist, ethnic, nationalist, and religious movements—all standing under, but not causally subsumed by, postmodernity.[76]

For postmodernism, Hassan coined the term *indetermanence* to designate two associated tendencies: *indeterminacy* and *immanence*. Indeterminacy refers to "all manner of ambiguities, ruptures, and displacements affecting knowledge and society" and immanence refers to "the growing capacity of mind to generalize itself through symbols. . . . we experience the extension of our senses, . . . through new media and technologies."[77] Later, as if to align with the disjunct character of postmodernism, Hassan constructs paratactically a postmodern context:

> By indeterminacy, or better still, indeterminacies, I mean a combination of trends that include openness, fragmentation, ambiguity, discontinuity, decenterment, heterodoxy, pluralism, deformation, all conducive to indeterminacy or under-determination. The latter concept alone, deformation, subsumes a dozen current terms like deconstruction, decreation, disintegration, displacement, difference,

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Criticism, ed. Michael Groden and Martin Kreiswirth (Baltimore: The Johns Hopkins University Press, 1994), 317-21. In "'Pity the Northrop Frye Scholar'? *Anatomy of Criticism* Fifty Years After," Robert Denham gives an overview of criticisms levied against Frye's book and sets out to argue for its lasting veracity. Yet, no defence has been provided in the face of postmodernism.

[75]Hans Bretens, *The Idea of the Postmodern: A History* (London: Routledge, 1995), 35.

[76]Hassan, "From Postmodernism to Postmodernity":3.

[77]Hassan, "Pluralism":504, 508.

> discontinuity, disjunction, disappearance, de-definition, demystification, detotalization, delegitimation, decolonization. . . . I call the second major tendency of postmodernism immanences, . . . This mental tendency may be further described by words like diffusion, dissemination, projection, interplay, communication.[78]

And Hassan provides a list for the comparison of modernism and postmodernism:

Modernism	**Postmodernism**
Romanticism/Symbolism	Pataphysics/Dadaism
Form (conjunctive, closed)	Antiform (disjunctive, open)
Purpose	Play
Design	Chance
Hierarchy	Anarchy
Mastery/Logos	Exhaustion/Silence
Art Object/Finished Work	Process/Performance/Happening
Distance	Participation
Creation/Totalization	Decreation/Deconstruction
Synthesis	Antithesis
Presence	Absence
Centering	Dispersal
Genre/Boundary	Text/Intertext
Semantics	Rhetoric
Paradigm	Syntagm
Hypotaxis	Parataxis
Metaphor	Metonymy
Selection	Combination
Root/Depth	Rhizome/Surface
Interpretation/Reading	Against Interpretation/Misreading
Signified	Signifier
Lisible (Readerly)	Scriptible (Writerly)
Narrative/Grande Histoire	Anti-narrative/Petite Histoire
Master Code	Idiolect
Symptom	Desire
Type	Mutant
Genital/Phallic	Polymorphous/Androgynous
Paranoia	Schizophrenia
Origin/Cause	Difference-Differance/Trace
God the Father	The Holy Ghost
Metaphysics	Irony
Determinancy	Indeterminancy
Transcendence	Immanence[79]

Hassan's conception of postmodernism finds its sympathizers in French philosopher Jean-François Lyotard and Russian philosopher Mikhail M. Bakhtin. Lyotard

[78]Hassan, "From Postmodernism to Postmodernity":4.

[79]Ihab Hassan, "Toward a Concept of Postmodernism," in *The Postmodern Turn* (Columbus: Ohio State University Press, 1987; reprint, in *A Postmodern Reader* (Albany: State University of New York Press, 1993), 280-1.

gives a faithful representation of the postmodern in his book *The Postmodern Condition: A Report on Knowledge* (*La condition postmoderne: rapport sur le savoir*) wherein he famously defines the postmodern as "incredulity toward metanarratives."[80] In Lyotard's discourse, a *grand narrative* assumes metanarrative status as it organizes and expresses the interconnectedness among culture narratives and legitimizes knowledge, reason, and history as truth. Grand narratives use two modes of unification: speculation and emancipation. A grand narrative of speculation attempts to forge a unity in knowledge and experience. A grand narrative of emancipation refers to a scheme to achieve social progress through higher education. More specifically, the two modernist grand narratives Lyotard hopes to displace are the Germanic speculative tradition as represented by Hegel and Habermas and the political framework of the French eighteenth-century and the French Revolution.[81] Lyotard suggests that in the obsolescence of grand narratives in the postmodern, it is the "little narratives" (*petits récits*) that step up and legitimize knowledge. Moreover, *paralogy*, which destabilizes a system and its conventions by introducing poor reasoning, replaces consensus as the goal of dialogue.[82] This postmodern mode of exchange versus that found in modernity can be described aptly by the dichotomy between Bakhtin's dialogic and Hegel's dialectic processes.

Lyotard's description of legitimization of postmodern knowledge by paralogy resonates with Bakhtin's idea of *dialogism* (or *dialogic* mode of exchange). Bakhtin brings into focus a pluralistic worldview that challenges without supplanting the hegemony of monologism. Dialogism subsumes the concepts of *polyphony*, *heteroglossia*,

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[80]Lyotard, *The Postmodern Condition*, xxiv.
[81]Ibid., ix, 33-41, 72-3; Bill Readings, *Introducing Lyotard: Art and Politics* (London: Routledge, 1991), 63-5.
[82]Lyotard, *The Postmodern Condition*, 60; 65-6; Simon Malpas, *Jean-François Lyotard* (New York, London: Routledge, 2003), 31.

and *carnival*. Broadly speaking, the dialogic sphere of existence is characterized by the presence of a multiplicity of voices (polyphony) and conflict that arises when distinctive languages and connotations are used in communication (heteroglossia). Bakhtin stresses that the plurality of voices represented by characters with different "consciousnesses" extends beyond his analysis of the novel and into life itself where different voices and "consciousnesses" become different personalities holding incongruent perspectives of the world. In such a world, all forms and functions of hierarchical structure are suspended. In its stead, interactions between formerly disparate hierarchies give rise to constant changes and renewal, open-endedness, unfinalizability, and a *carnival sense of the world*.[83]

To conclude our explication of the unsuitability of Almén's archetypal theory for postmodern music, we defer to Lyotard's view on postmodern aesthetics and the postmodern artist:

> The postmodern would be that which, in the modern, puts forward the unpresentable in presentation itself; that which denies itself the solace of good forms, the consensus of a taste which would make it possible to share collectively the nostalgia for the unattainable; that which searches for new presentations, not in order to enjoy them but in order to impart a stronger sense of the unpresentable. A postmodern artist or writer is in the position of a philosopher: the text he writes, the work he produces are not in principle governed by preestablished rules, and they cannot be judged according to a determining judgment, by applying familiar categories to the text or to the work. Those rules and categories are what the work of art itself is looking for. The artist and the writer, then, are working without rules in order to formulate the rules of what *will have been done*.[84]

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[83]Bakhtin developed his notion of polyphony, dialogism, heteroglossia, unfinalizability, and carnival in *Problems of Dostoevsky's Poetics* and "Discourse in the Novel," 259-422. The concept of carnival is also discussed in "Carnival and Carnivalesque," in *Cultural Theory and Popular Culture: A Reader*, edited and introduced by John Storey (London: Prentice Hall, 1998), 250-9. *Carnival* (or a *carnival sense of the world*) refers to a world where individuals with distinctive voices mix and interact with the laws, prohibitions, restrictions, and hierarchies from conventional, ordinary life suspended.

[84]Lyotard, *The Postmodern Condition*, 81.

2.1.3.3 Epistemology of Music Semiotics and Narratives

The study of musical signs began in the 1950s.[85] For its approach, it promptly took inspiration from linguistic methods, following Bruno Nettl's suggestion. In his 1958 article, "Some Linguistics Approach to Music Analysis," Nettl opined that because of music's and linguistics' structural similarities, music analysis can benefit from adopting the scientific methods of descriptive linguistics developed by the Prague and American school.[86] From then on, linguistic theories effected a paramount influence on the development of music semiotics. In Raymond Monelle's survey of music semiotics from its beginning up to the 1990s, each of the major approaches and theories can be traced to a linguistic origin.[87] To begin with, the segmentation of musical text into musical units like *phonemes*, *morphemes*, and *allophones* derives from the works of Nikolai Trubetzkoi and other Prague school linguists. Nicolas Ruwet was both a linguist and a music analyst. His description of musical syntax consisting essentially of repetitions and transformations can be attributed to influence from his teachers, Prague school structuralist Roman Jakobson and American linguist Noam Chomsky. In addition to contributing to

[85]*Semiotics*, the theory of signs, is a "theory of human communication with the help of signs, which traces especially the factors of sign-morphology and the establishment of sign-systems: the essential logic and categories of its elaboration in basic relations (relations according to means, object, and interpretant), its practical operation." *Semantics*, the theory of meaning, is a "theory of the conditions, psychological, anthropological, social-historical, cultural, and aesthetics, which traces the processuality of the creation of meaning, its metamorphosis, and dissolution." *Semiology*, a translation of Saussure's sémiologie, refers to "a (then non-existent) discipline devoted to studying 'the life of signs as part of social life'. In Saussure's *Cours de linguistique générale* this discipline is presented as a branch of social psychology. Saussure did not conceive of semiology as a general science of signs of every kind." The foregoing definitions for *semiotics* and *semantics* are found in Vladimir Karbusicky, *Grundriss der musikalischen Semantik* (Darmstadt: Wissenschaftliche Buchgesellschaft), 17; quoted in Raymond Monelle, *Linguistics and Semiotics in Music* (Chur, Switzerland: Harwood Academic Publishers, 1992), 27; the definition of semiology is from Roy Harris, "Semiology," in *The Routledge Companion to Semiotics*, edited by Paul Cobley (London: Routledge, 2010), 317-8.

[86]Bruno Nettl, "Some Linguistics Approach to Music Analysis," *Journal of the International Folk Music Council* 10 (1958): 37-41.

[87]Raymond Monelle, *Linguistics and Semiotics in Music* (Chur, Switzerland: Harwood Academic Publishers, 1992), 27-31.

Chomsky's theory of generative grammar, Ruwet formulated a paradigmatic method of music analysis whereby musical motives are singled out and their distributions in a piece of music analyzed. Jean-Jacques Nattiez's theory of paradigmatic analysis is a direct descendant of his teacher Ruwet's distributional analysis. From Chomsky's transformational-generative grammar, Fred Lerdahl and Ray Jackendoff derived their generative theory for tonal music. In music semantics, Finnish musicologist Eero Tarasti combined anthropologist Claude Lévi-Strauss's idea of mythical themes and French linguist Algirdas Julien Greimas's narrative grammar in his own thymic analysis of musical characters' tensions, goals, accomplishments, and frustrations. In the mid-1990s, Robert Hatten adapted to music analysis the markedness theory developed by Prague School theorists Roman Jakobson and Nikolai Trubetzkoy. And Swede musicologist Ingmar Bengtsson and German composer Peter Faltin adapted Umberto Eco's idea of cultural units functioning as semantic units into their work.

There is no doubt that the prevalence of linguistics in the development of music semiotics and semantics predicates on the understanding that language and music share structural similarities. Both possess their own grammars, syntaxes, and structural forms, both are acoustic in nature and can be described by the acoustic elements of pitch, timbre, dynamics, tone, and rhythm, and both unfold temporally. In fact, the similarities between the two semiotic systems are so striking that a theory of *musicalization of fiction* emerged as a serious scholarly enterprise.[88] Yet, differences between the semiotic systems of

[88]Musicalization of fiction is an intermedial topic generated by research in intertextuality. It is more than the mere infusion of a literary work of fiction with musical qualities. Werner Wolf defines it as follows:

> A special case of covert music-literary intermediality to be found in (parts of) novels or short stories. It consists of an (in most cases) intentional shaping of the *discours* (affecting, e.g., the linguistic material, the formal arrangement or structure of the narrative, and the imagery used) and sometimes also of the *histoire* (the content structure of the narrative), so that verifiable or at least convincingly identifiable 'iconic' similarities or analogies to (a work of) music or to effects

music versus language never escaped scholars involved in such attempts. Werner Wolf points out that although both music and language (speech) share the acoustic qualities of pitch, timbre, dynamics, and rhythm, the much higher level of precision required in music may never be matched in language. Moreover, the linguistic equivalent to melody is not as flexible as its musical counterpart and it is never a constituent of the linguistic system. Wolf further points out that though both language and music unfold temporally, music is capable of manifesting polyphony and multidimensionality, while such concepts remain foreign to linguistics. Perhaps the most notable difference between the two semiotic systems arises in the domain of segmentation. Wolf explains that the linguistic concepts of phonemes and morphemes cannot be easily applied to music, for it is difficult to define morpheme, the smallest meaningful sonic unit, in music. It is uncertain whether it should correlate to individual notes, chords, or parts of melody. Likewise, it is not clear whether the counterpart for phoneme, the smallest distinctive sound, can be determined in music since distinctiveness depends on one's sensitivity to variations in frequency, timbre, duration, etc., in the sound waves, unlike linguistic phonemes which are distinguished by finite alphabets and their combinations in the language. Wolf concludes that while correspondences between music and language may be established at the phrasal and sentential levels, in music the finer units of segmentations become arbitrary.[89]

As mentioned before, music as a signification system lacks propositional content and the ability to predicate. Musical content is at once polysemous, and at the same time

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produced by it emerge in the fictional text. As a result, the reader has the impression that music is involved in the signifying process of the narrative not only as a general signified or a specific—real or imaginary—referent but also that the presence of music can indirectly be experienced while reading.

(Werner Wolf, *The Musicalization of Fiction: A Study in the Theory and History of Intermediality* [Amsterdam: Rodopi, 1999], 52.)

[89]Ibid., 1-33.

expresses no distinct thought or meaning. It is questionable whether an epistemologically valid narrative theory for music can be based upon theories of linguistics, given the fundamentally different natures of both the phenomena of language and music and their modes of signification. Barring medial and formal specificities, narrative can be defined simply as an account of events; a mental representation. Hence, there is no reason to privilege linguistic theories in the formulation of a theory of music narrative.

2.2 A Proposal

In order to construct a theory of music narrative expunged of the inveterate influence of linguistics and literary theory, we shall examine further the metaphysical nature of narrative. In *Lessons in Paganism* (*Instructions païennes*), Lyotard posits that there lies in all of us an innate and irrepressible drive to tell stories. Every event, person, and object participates in some narrative. The universality of narrative is so absolute that nothing exists outside the world of narratives. In other words, narrative reifies our experience of the world. In his essay on knowledge, *The Postmodern Condition*, Lyotard argues that narrative is the preeminent form chosen in the formulation of traditional knowledge.[90]

Lyotard's view is corroborated by philosophers and cognitive psychologists alike. Theodore R. Sarbin proposes the *narratory principle* according to which "human beings think, perceive, imagine, and make moral choices according to narrative structures. . . . The narrative is a way of organizing episodes, actions, and accounts of actions; it is an achievement that brings together mundane facts and fantastic creations; time and place are incorporated. The narrative allows for the inclusion of actors' reasons for their acts, as

[90]Jean-François Lyotard, "Lessons in Paganism," in *The Lyotard Reader*, edited by Andrew Benjamin (Oxford: Blackwell Publishing, 1989), 125-7; idem, *The Postmodern Condition*, 19.

well as the causes of happening."[91] Paul Ricoeur understands narrative to be a requisite part of life: "We tell stories because in the last analysis human lives need and merit being narrated." And it is through narrative that our confused and unformed experience of time is given configuration.[92] Like Ricoeur, Donald Polkinghorne sees narrative's configurative property. But more importantly, Polkinghorne speaks of narrative as a primary form of *meaning system*, a cognitive process that gives meaning to our experience: "Experience forms and presents itself in awareness as narrative. . . . Human experience seeks to organize itself into a meaningful unity, and to accomplish this we use not only narrative but also the means-end structure of practical reasoning. Yet even the actions we plan using such reasoning are integrated, finally, through narrative into a complex of many actions."[93] And cognitive psychologist Jerome Bruner believes that narrative is life and vice versa. He writes:

> We seem to have no other way of describing "lived time" save in the form of a narrative. . . . the mimesis between life so-called and narrative is a two-way affair: that is to say, just as art imitates life in Aristotle's sense, so, in Oscar Wilde's, life imitates art. Narrative imitates life, life imitates narrative. "Life" in this sense is the same kind of construction of the human imagination as "a narrative" is. It is constructed by human beings through active ratiocination, by the same kind of ratiocination through which we construct narratives. When somebody tells you his life . . . it is always a cognitive achievement rather than a through-the-clear crystal recital of something univocally given.[94]

Narrative does not originate from linguistics and is not a literary construct. It is nothing less than our consciousness; an expression of our cognitive processes; a representation of

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[91]Theodore R. Sarbin, "The Narrative as a Root Metaphor for Psychology," in *Narrative Psychology: The Storied Nature of Human Conduct* (Westpor: Praeger Publishers, 1986), 8-9.
[92]Paul Ricoeur, *Time and Narrative* vol.1, translated by Kathleen McLaughlin and David Pellauer (Chicago: Chicago University Press, 1983), xi, 75.
[93]Donald E. Polkinghorne, *Narrative Knowing and the Human Sciences* (Albany: State University of New York Press, 1988), 1; 68.
[94]Jerome Bruner, "Life as Narrative," *Social Research* 54/1 (1987): 12-3.

our thoughts and feelings. I therefore propose to incorporate findings from cognitive science in our study of music narratives as embodied by Schnittke's music.

2.2.1 Cognitive Narratology

Cognitive narratology, as David Herman tells us, is an emergent trend that involves "the study of mind-relevant aspects of storytelling practices, wherever—and by whatever means—those practices occur. . . .the mind-narrative nexus can be studied along two other dimensions, insofar as stories function as both (a) a target of interpretation and (b) a means for making sense of experience—a resource for structuring and comprehending the world—in their own right."[95] Cognitive narratology comes under the broader rubric of postclassical narratology. It plays up the subjective and humanistic view and suppresses positivist tendencies found typically in classical, structuralist narratologies. It represents a shift from an essentially text-based approach to one that integrates both the textual (structural) and contextual (hermeneutic) elements.[96] Although linguistics and literary researchers are enthusiastic in joining the research of cognitive narratologists, natural language is not essential to cognitive sciences or to the understanding of narratives. In his book *Fictional Mind*, Alan Palmer suggests that the undue emphasis on language has hindered the study of fictional mental functioning. Skepticism seeps in as to the role of language in our conceptual framework and the

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[95]David Herman, "Cognitive Narratology," in *Handbook of Narratology*, edited by Peter Hühn, John Pier, Wolf Schmid, and Jörg Schönert (Berlin: Walter de Gruyter, 2009), 30-43.

[96]Discussions of the differences between classical and postclassical narratologies may be found in Ansgar Nünning, "Narratology or Narratologies?" in *What is Narratology? Questions and Answers Regarding the Status of a Theory*, ed. Tom Kindt and Hans-Harald Müller (Berlin: Walter de Gruyter, 2003), 243-5; and in Luc Herman and Bart Vervaeck, "Focalization between Classical and Postclassical Narratology," in *The Dynamics of Narrative Form: Studies in Anglo-American Narratology*, edited by John Pier (Berlin: Walter de Gruyter, 2004), 114-5.

concrete relation between cognitive functions and verbalisation. With phonographic recordings, psycholinguist Lev Vygotsky, who introduced the notion of "inner speech" to psychology, shows that inner speech is in fact so incoherent and fragmented that it hardly qualifies as a language. To Vygotsky, inner speech with its wordiness, or lack thereof, is better described as a stream of thoughts in meaning. Studies of subjects with aphasia show that impairment of linguistic competence has no direct effect on intellectual functions.[97] In her work with a "languageless" subject, a totally deaf man who had never been exposed to sign language until adulthood, scientist Susan Schaller shows that there is no evidence of deficiencies in his cognitive abilities. Schaller's study confirms cognitive neuroscientist Merlin Donald's well-developed thesis of cultural and cognitive evolution in which he postulates that human thoughts do not arise from the language-specific mental module in the brain.[98]

As mentioned before, cognitive narratology is a young discipline. At the time of writing, the present author is not aware of any interdisciplinary framework of inquiry involving the cognitive sciences and music hermeneutics. In view of the fact that narrative constitutes a large part of our conceptual awareness and may well be the organizing principle of our consciousness, as a first step toward formulating a theory of postmodern music narrative we would like to explore the *frames* of postmodern music narrative. According to the theory of frames, whose major contributors include Marvin Minsky, Menakhem Perry, and Manfred Jahn, when one encounters a new situation or experience, one selects from memory a cognitive model or mental structure that is most

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[97]Alan Palmer, *Fictional Minds* (Lincoln: University of Nebraska Press, 2004), 92-3. Aphasia is the partial or complete loss of abilities to comprehend and/or communicate in language due to illness or injury.

[98]Susan Schaller, *A Man Without Words* (Berkeley: University of California Press, 1995); Merlin Donald, *Origins of the Modern Mind: Three Stages in the Evolution of Culture and Cognition* (Cambridge, Massachusetts: Harvard University Press, 1993).

fitted to the events at hand. This cognitive model, known as a *frame*, suggests anticipations in a stereotypical situation and courses of action to take when expectations are confirmed or disappointed. A frame thus represents a schema that describes a narrative's formal arrangement. It orients the subject by depicting loosely the setting within which events unfold in greater detail according to *scripts*.[99]

As the second part to my proposal, I suggest that we look to Carl Jung's archetypes for such a heuristic framework of cognitive organization. Jung's concept of archetypes identifies with Plato's conception of the Idea. It also resonates with Lucien Lévy-Bruhl's "collective representation," Adolf Bastian's "elementary thought," Henri Hubert and Marcel Mauss's "thought-forms categories," David Émile Durkheim's "categories of the imagination," and Hermann Usener's "unconscious thinking."[100] Jung has variedly referred to his archetypes as *mnemonic images*, *primordial images*, and *archaic remnants*. In explaining archetypes, Jung introduced two additional concepts: *personal unconscious* and *collective unconscious*. The personal unconscious is private and individualistic. Its content is acquired through personal experience which had once resided in the consciousness but now is forgotten and repressed. The collective unconscious is, on the contrary, inborn, impersonal, and universal. Its content is made up of pre-existent forms, the *archetypes*, which manifest themselves in our consciousness

[99]Marvin Minsky, "A Framework for Representing Knowledge," *MIT-AI Laboratory Memo 306* (June 1974); Menakhem Perry, "Literary Dynamics: How the Order of a Text Creates Its Meanings," *Poetics Today* 1, No. 1/2 (1979): 35-64 and 311-61; Manfred Jahn, "Frames, Preferences, and the Reading of Third-Person Narratives: Toward a Cognitive Narratology," *Poetics Today* 18/4 (1997): 441-68. Roger Schank and Robert Abelson developed the theory of scripts, an extension of the framing theory, in *Scripts, Plans, Goals, and Understanding: An Inquiry into Human Knowledge Structure* (Hillsdale: Lawrence Erlbaum, 1977).

[100]Carl Jung, *The Archetypes and the Collective Unconscious*, translated by R. F. C Hull (Princeton: Princeton University Press, 1959), 42-3, 79.

through thoughts, feelings, actions, myths, fairy tales, and fantasies, etc.[101] As the archetypes become elaborated as conscious representations, they become altered by individual consciousness and lose their universality.

In light of our earlier discussion and rejection of Frye's ideas, it may seem we have come full circle in our suggestion of adapting Jungian archetypes to the organizing schemas of consciousness. But, a fundamental difference exists in denumerability between Jung's and Frye's archetypes. While the number of Frye's archetypes is finite, there are innumerable Jungian archetypes. Moreover, archetypes are no more than well-understood recurring patterns to Frye, whose limited number of variations can best be adapted for the classification of art that imitates nature's cyclicity. He writes:

> I mean by an archetype a symbol which connects one poem with another and thereby helps to unify and integrate our literary experience. And as the archetype is the communicable symbol, archetypal criticism is primarily concerned with literature as a social fact and as a mode of communication. By the study of conventions and genres, it attempts to fit poems into the body of poetry as a whole. . . . Archetypes are associative clusters, and . . . complex variables. Within the complex is often a large number of specific learned associations which are communicable because a large number of people in a given culture happen to be familiar with them. . . . In its archetypal phase, the poem imitates nature, not (as in the formal phase) nature as a structure or system, but nature as a cyclical process. The principle of recurrence in the rhythm of art seems to be derived from the repetitions in nature.[102]

Jungian archetypes reside in the unconscious and share no common features with Frye's archetypes, which reside in the conscious as concrete recurring images. Jung's archetypes can be understood as psychic urges that encourage the formation of archetypal images or motifs in the consciousness. Jung clarifies as follows:

> The term "archetype" is often misunderstood as meaning certain definite mythological images or motifs. But these are nothing more than conscious representations; it would be absurd to assume that such variable representations

[101]Ibid., 3, 5, 42-3, 79, 153; Idem, *Man and His Symbols*, (London: Doubleday, 1964), 67.
[102]Frye, *Anatomy of Criticism*, 99, 102, 105.

> could be inherited. The archetype is a tendency to form such representations of a motif—representations that can vary a great deal in detail without losing their basic pattern. There are, for instance, many representations of the motif of the hostile brethren, but the motif itself remains the same.[103]

We have argued previously that narratives are organizing principles that bring awareness and give meaning to our experience and consciousness. Adding to that, research reported from narrative psychology shows that no single narrative structure and no standard list of ingredients can account for the myriad of ways stories are told.[104] It becomes apparent therefore that Jung's theory of archetypes made personal through archetypal images is more appropriate for the description of our narrative thinking and its manifestation in postmodern music than Frye's reductionist metanarrative.

The theory of postmodern music narrative I propose here is thus a personal viewpoint, a *petit récit*, that represents my perception of postmodern music narratives. It is but a fragment of the actualized collective unconscious. The theory offers no universal treatment for postmodern music in general, and as the analyses in the following chapters make clear, it puts forth no standardized analytical methodology for Schnittke's or any music. As Jann Pasler aptly describes, the postmodern analyst has become a *bricoleur*, someone who continually invents his or her own strategies for comprehending reality. This thesis bears witness to such an effort.[105]

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[103]Jung, *Man and His Symbols*, 67.

[104]John A Robinson and Linda Hawpe, "Narrative Thinking as a Heuristic Process," in *Narrative Psychology: The Storied Nature of Human Conduct*, edited by Theodore R. Sarbin (Westport: Praeger Publishers, 1986), 112.

[105]Jann Pasler, "Postmodernism, Narrativity, and the Art of Memory," *Contemporary Music Review* 7 (1993): 3.

2.3 Summary Observations

In his article "Beyond Unity: Toward an Understanding of Musical Postmodernism," Jonathan D. Kramer posits that in the postmodern context, unity may exist at the level of compositional intent, it may be manifested in the musical text, expressed in the performance of the work, brought out in an analysis, or experienced by the listener. Yet, these unities, if present, are only weakly interrelated. It is beside the point to locate textual unification or to identify its principles when perceptual unification is experienced since "studies of compositional procedures, scores, performances, and above all perceptual mechanisms are different, perhaps even independent enterprises." [106] Citing Leonard Meyer, Kramer points out that unity is "neither an objective trait . . . , nor a specifiable relationship. Rather, it is a psychological effect . . . that depends . . . on cultural beliefs and attitudes ingrained in listeners."[107]

Unity and narrativity therefore resemble each other in the sense that they are both private and individualistic experiences that vary from person to person. In the postmodern realm, there are as many ways of conveying unity and narrativity in music as there are composers. Likewise, there are as many performances, interpretations, and perceptual experiences of a unified musical narrative as there are performers, music theorists, and listeners. Kramer's postulation that studies of unity in compositional procedure, performance, music analysis, and perceptual mechanism represent very different enterprises resonates with the findings of this chapter and can be extended and

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[106]Jonathan D. Kramer, "Beyond Unity: Toward an Understanding of Musical Postmodernism," in *Concert Music, Rock, and Jazz since 1945: Essays and Analytic Studies*, edited by Elizabeth West Marvin and Richard Hermann (New York: University of Rochester Press, 2002), 32.

[107]Leonard B. Meyer, *Style and Music* (Philadelphia: University of Pennsylvania Press, 1989), 326; quoted in Kramer, "Beyond Unity," 15.

applied to narrativity. We have argued that narrative is an organizing principle of our consciousness and therefore varies according to each individual's experience and psychological makeup. Furthermore, we have shown that there exists no direct correspondence between music signifiers and narrative components. Lastly, our suggestion of continuing future narratological investigations in the fields of cognitive narratology and Jung's archetypal theory, isolated from text-based music analysis, demonstrates the belief that studies of narrative as a psychological construct and narrative as a musical phenomenon are independent and should be conducted as such.

CHAPTER 3

IMMANENCE AND PHENOMENOLOGICAL ASPECTS IN SCHNIITTKE'S DOUBLE CONCERTO FOR OBOE, HARP AND STRING ORCHESTRA

3.1 Introduction to Immanence and Phenomenological Aspects

Ihab Hassan posits *immanence* as one of two central constitutive tendencies in postmodernism. The term, used without any religious connotations, refers to "the capacity of mind to generalize itself in symbols,… and project human consciousness to the edges of the cosmos. This mental tendency may be further described by words like diffusion, dissemination, projection, interplay, communication, which all derive from the emergence of human beings as . . . creatures constituting themselves, and also their universe, by symbols of their own making."[108] In traditional philosophy, immanence, together with *transcendence*, often represent two extremes of a dichotomy. While transcendence signifies externality, objectivity, and alterity, immanence stands for internality, subjectivity, and all that emanates from within. In his work on phenomenology, philosopher Maurice Merleau-Ponty associates immanence with our perception of the world: "The perceived thing exists only in so far as someone can perceive it. . . . there is a paradox of immanence and transcendence in perception. Immanence, because the perceived object would not be able to be foreign to the one who

[108]Hassan, "From Postmodernism to Postmodernity": 4.

perceives; transcendence, because it always involves a beyond of what is actually given."[109]

Where postmodern music is concerned, immanence enables the composer to project his or her consciousness through symbolism. At the same time, it enables the listener to receive such consciousness through the senses and formulate his or her own subjective phenomenological experience. With immanence being an essence of postmodernism, it would not be unreasonable to suggest that the phenomenological aspects of a postmodern musical work often impress more strongly upon one's understanding of the work than *a priori* and theoretical knowledge. Moreover, as the following discussion of Schnittke's Double Concerto for Oboe, Harp, and String Orchestra demonstrates, the immanence evinced by a postmodern musical work is unaffected by the inadequacy or even absence of textual evidence. This efficaciousness of immanence attests to the fact that in postmodernism, subjective experience is privileged over objective rationale, and the theory of truth shifts from being universal and absolute towards being perspectivist and relativist.

3.2 Double Concerto for Oboe, Harp, and String Orchestra (1971)

In 1971 Schnittke formulated his concept of polystylism in an essay entitled "Polystylistic Tendencies in Modern Music," the same year he completed the Double

[109]Maurice Merleau-Ponty, "The Primacy of Perception and its Philosophical Consequences," in *The Merleau-Ponty Reader*, edited by Ted Toadvine and Leonard Lawlor (Evanston: Northwestern University Press, 2007), 92-3. Merleau-Ponty's phenomenology does not consider immanence and transcendence to be antithetical; rather, they cohere in the framing of the world. Merleau-Ponty's view on subjectivity/objectivity, realism/idealism, and sensibility/rationality resonates with our perspective on postmodernism and will be expounded on in the concluding chapter.

Concerto for Oboe, Harp, and String Orchestra.[110] At the time of its writing, Schnittke was greatly involved in the production of film music. Out of the fifty-one pieces of work that he composed in the seven-year period, 1965-72, only seventeen pieces belong to the category of absolute music.[111] The rest are film music and incidental music for ballet and television. Film music not only provided the venue for experimentation Schnittke so needed in his search for his own voice, but the montage in cinema, the time and space distortions, and the dramatic contrasts and pace also greatly influenced his style. As is typical of Schnittke's early polystylistic works, excerpts from his film music made way into his polystylistic absolute music via quotation and collage. Of such borrowing, Schmelz writes:

> Schnittke's film (and cartoon) music informed his compositions from the *Serenade* and *Quasi Una Sonata* onward, but his works from the late 1960s and early 1970s were often drawn directly from his film scores, including *Voices of Nature for Ten Female Voices* (*Golosa prirodi*, 1972), taken from the same score that inspired his First Symphony, and the *Suite in the Old Style*, taken from the scores to two films by the director Elem Klimov, *Adventures of a Dentist* (*Pokhozhdenii zubnogo vracha*, 1965) and *Sport, Sport, Sport* (*Sport, Sport, Sport*, 1970).[112]

The practice becomes so common that it becomes a stark curiosity for Schnittke to refrain from using quotations or recognizable motifs of any kind in the Double Concerto for Oboe, Harp and String Orchestra. Instead, Schnittke chooses to employ the Eratosthenes series, the sequence of prime numbers, as one of the organizational schemas.[113] It

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[110]Alfred Schnittke, "Polystylistic Tendencies in Modern Music," in *A Schnittke Reader*, edited by Alexander Ivashkin, translated by John Goodlife, with a foreword by Mstislav Rostropovich (Bloomington: Indiana University Press, 2002), 87-90.

[111]Schnittke considered the years 1965-72 his creative soul-searching years. See Schmelz, *Such Freedom, if Only Musical*, 245.

[112]Ibid., 306.

[113]Eratosthenes of Cyrene (circa 276 – 196 B.C.), a Greek scholar who wrote about tuning and the mathematical theory of music in addition to geography, astronomy, and history, devised a simple

indicates that the stylistic shift which is to take hold later in the decade, one in which direct quotations give way to allusions, is already in its late incubation stage.

At the time of its writing, Schnittke's Double Concerto came as the fifth orchestral piece ever to score both oboe and harp as principal instruments. It followed William Alwyn's *Concerto for Oboe, Harp, and Strings* (1944-5), Hans Werner Henze's *Doppio Concerto per Oboe, Arpa ed Archi* (1966), Frank Martin's *Trois danses pour hautbois, harpe, quintette solo et 63rchestra à cordes* (1970), and Ernst Krenek's *Kitharaulos for Oboe, Harp, and Chamber Orchestra*, Op. 213 (1971). All of the aforementioned pieces except Alwyn's concerto were commissioned by the Swiss virtuoso oboist, Heinz Holliger and his wife Ursula Holliger, a harpist. Subsequent orchestral commissions by the Holligers include the Korean-German composer, Isang Yun's *Double Concerto for Oboe, Harp, and Chamber Orchestra* (1977) and Lutoslawski's *Concerto for Oboe, Harp and Chamber Orchestra* (1979-80).

A *double concerto* refers to a concerto that comprises either two principal instruments or two orchestras.[114] The principal instruments can be of the same type, as in Mozart's Concerto for Two Pianos, K. 365, or belong to the same instrumental group as in Brahms's Concerto for Violin and Cello, Op. 102. The pursuance of *timbral harmony*

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algorithm called the *Sieve of Eratosthenes* for finding all prime numbers smaller than a specified natural number, *n*. The list of prime numbers derived, known as the Eratosthenes series, is identical to the sequence of prime numbers with the sole exception that it is a finite sequence, the size of which is bound by the predetermined number *n*.
The Eratosthenes series is also employed in Symphony No. 1, on which Schnittke was working concurrently. Schmelz writes that "Like the earlier *Double Concerto for Oboe, Harp, and String Orchestra* . . . , the third movement (like much of the symphony) was controlled by the Eratosthenes Row." See Schmelz, 309. Since Schmelz does not provide any analysis of the symphony or the concerto to support his observation, it is difficult to verify such a claim. I find the Eratosthenes Row to be behind the organization of the concerto's opening section only, with no structural bearing on the rest of the concerto.

[114]*The Oxford Dictionary of Music*, s.v. "double concerto."

(timbral coherence) operates tacitly in traditional instrumentation.[115] It is, therefore, rare for composers of double concertos to score two timbrally distant instruments as solo instruments. Tension and dissonance created in the course of music always find refuge in the resolutions at the end. Inherent and irresolvable antagonistic timbres, however, create perpetual strain that denies repose and comfort. Schnittke defines *timbral dissonance* as "a combination of distantly related timbres that retain their own individual characteristics."[116] It differs from *timbral consonance*, which represents "a combination of related timbres that create a blended sonority difficult for the ear to analyze, in which the individual characteristics of instruments are fused into a single total color."[117]

Traditionally, the concerto distinguishes itself from the more egalitarian orchestral sonata by the juxtapositions of its soloist and orchestra. The soloist, with the technical brilliance and superiority expected from her, takes on the prominent role of protagonist and battles against the collective power and sonority of an orchestra. This one-against-many scenario becomes an inveterate favorite of composers from the Classical and Romantic eras. In double concertos where there are two soloists, the soloists often work in tandem as co-protagonists rather than against each other as antagonists. Examples include J. S. Bach's Double Concerto for Violin, Oboe, Strings and Basso Continuo, BWV 1060, Brahms's Double Concerto for Violin, Cello and Orchestra in A Minor, Op. 102, and the many double concertos by Bach and Vivaldi. In the solo episodes of such concertos, the soloists typically engage in dialogue by alternating their entrances, or

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[115]In his essay "Timbral Relationships and Their Functional Use," in *A Schnittke Reader*, 101-12, Schnittke discusses the functional use of timbre as harmony in the twentieth century wherein he introduces new terms like *timbral consonance*, *timbral harmony*, *timbral dissonance*, *timbral polyphony*, *timbral modulation*, and *timbral modulation*.

[116]Ibid., 102.

[117]Ibid.

reinforce each other by imitation, doubling at an interval, or one of the soloists falls back into an accompanying role. Generally accepted and implicitly required is that the two solo instruments share timbral affinities. Timbrally unrelated and distant instruments, when cast together as principal instruments, disrupt and upset the gravitational pull towards timbral harmony. Furthermore, their modes of engagement in solo episodes become limited to dialogues only: monotonic dialogues where they antagonize and confront each other but are incapable of achieving resolution.

In his discussion of the expanded and coloristic use of timbre in the twentieth century, Schnittke believes that the "emancipation of dissonance" brought with it the "emancipation of timbre."[118] The development of serialism in the twentieth century led to *timbral pointillism*: the combining of disparate elements when applied to the timbral dimension. Schnittke writes: "The centrifugal tendencies toward the non-repetition of timbre began to interact with the centripetal tendencies toward unity of timbre . . . the former dictated ensembles of assonant instruments, while the latter prompted a search for timbral affinities."[119] The general trend in the twentieth century was therefore one toward timbral dissonance rather than consonance, a deleterious trend that counters the pull towards what Schnittke believes to be universal architectonic qualities: timbral unity and harmony.[120]

3.2.1 Analysis

Schnittke incorporates iconic features from different traditions and styles into the Double Concerto without subscribing or adhering to any particular system. Some of the

[118]Ibid., 101.
[119]Ibid., 105.
[120]Ibid., 101-12.

identifiable musical constructs include whole-tone scales, diatonic scales, diminished triads and tetrachords, tritones, and a pronounced presence of the major- and minor-second intervals. Also recognizable, but not functioning in accordance to conventions of their corresponding syntactic systems are traces of tonality, dodecaphony, and aleatoricism. This one-movement concerto contains two cadenzas and six sections. Each of the six sections is generated from distinct musical elements and demarcated clearly by rehearsal numbers.[121] Table 3-1 summarizes the formal design of the concerto.

Table 3-1. Double Concerto's Formal Design[122]

Rehearsal	Sections
1 – 6	Eratosthenes Section
7	Cadenza I
8 – 12	Sighing Section
13 – 17	Whole-tone Section
18 – 21	Diminished Section
22 – 24; 25 – 26	Recapitulation
27	Cadenza II
28; 29 – 32	Interval-6/7 Section

3.2.1.1 The Eratosthenes Section (Rehearsals 1 – 6)

When Schnittke was working on his Symphony No. 1 and the Double Concerto for Oboe, Harp and String Orchestra, Romanian composer Anatol Vieru (1926-98),

[121]Schnittke does not use measure numbers in his music. The nearest equivalent markers are rehearsal numbers. (He also forgoes opus numbers for his works.) Since Schnittke does not use measure numbers, rehearsal numbers become the only available and convenient placement indictors. Therefore, I will use rehearsal numbers as section numbers instead of as mere indicators of specific points in the score. For example, "rehearsal 3" would be the section delimited by the marker "3" in the score and the section immediately before rehearsal number "4".

[122]I have labeled the different sections of the concerto according to their most distinguishing characterization.

whose music also exhibits characteristics of polystylism, introduced Schnittke to his use of the Eratosthenes series in generating musical structures.[123] In his chamber work, *Sita lui Eratostene* (The Riddle of Eratosthanes), Vieru assigned prime numbers from his Eratosthenes series to different musical events. The music is structured upon a scheme whereby each measure contains the musical events the product of whose assigned prime numbers equals the measure number. For example, measure 102 would contain the musical events assigned the prime numbers 2, 3 and 17 (2 x 3 x 17=102).[124] Since a fundamental theorem of number theory states that each positive integer has a unique representation as a product of prime numbers, Vieru's method guarantees an elementary organization for musical entities regardless of the music's complexity and length.[125] Not only musical events, but different aspects of composition including, but not limited to, pitches, rhythms, instruments, or meter can be structured according to the prime number sequence. Vieru utilizes the Eratosthenes series in many ways, one of which is the generation of modal sequences using a combination of prime numbers.[126]

Upon learning of the series, Schnittke incorporated it immediately in his Symphony No.1, for it represented to him a novel method of generating and organizing music. To Schnittke, it offered a new schema that is neither tonal nor dodecaphonic. He describes his way of using the prime number series thus:

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[123]Victoria Adamenko, *Neo-Mythologism in Music: From Scriabin and Schoenberg to Schnittke and Crumb* (New York: Pendragon Press, 2007), 192.

[124]Schmelz, 309 n. 57.

[125]By definition, a composite number is a positive integer that has a positive divisor other than 1 and itself; a prime number is a positive integer that has exactly one positive divisor other than 1. All natural numbers greater than one are, therefore, either composite numbers or prime numbers. The number 1, having no positive divisor other than 1, is therefore neither a composite nor a prime number. Nevertheless, in some archaic texts, the number 1 is still considered a prime. Probably for practical reasons, Vieru and later Schnittke who adopted the Eratosthenes progression in their work both included the number 1 in the sequence.

[126]Anatol Vieru, "Generating Modal Sequences (A Remote Approach to Minimal Music)," *Perspectives of New Music* 30/2 (1992): 178-200. See also, Aantol Vieru, *Cartea Modurilor* (Bucharest: Editura Muzicala, 1980; English Translation, 1993).

> It serves as the basis for some chords, melodic lines; some pitches in the beginning are derived from it in a complex way, as well as the flute solo from the second movement, the climax chord from the Finale, and all the Finale's "disintegration," where I calculated all the chords, their various intervallic structure (for example, the chords, made of minor second, major second, minor thirds, major third. . .).[127]

Schnittke modifies his use of the Eratosthenes series yet again when prime numbers play a structural role in the Double Concerto for Oboe, Harp, and String Orchestra.[128]

In terms of pitch material, the solo instruments introduce three pairs of ordered pitch-class sets that are each related by their intervallic distances in the Eratosthenes section.[129] The violas bring in the three-note unit <B10> that functions as an orchestral introduction to the concerto and also generates the first pair of ordered pitch-class sets <B10BA0> and <243BA0>. The first three notes in the two pitch-class sets (<B10> and <243>) share the interval succession <2-11> and the last three notes (<BA0>) have the retrograded interval succession <11-2>. The fact that both ordered sets can be generated from <B10> and share the ending trichord <BA0> reinforces their relation as a pair. At rehearsal 4, the harp introduces the ordered set <98576>, which the oboe answers immediately with the set's inversion <34756>. The third pair consists of the two harp segments from rehearsal 5, <0B> and <6A798>, and the oboe's answer <2190AB> at rehearsal 6. As shown in Figure 3-1, this pair of pitch-class sets is related by their unordered pitch-class intervals (1-4-3-2-1). When added together, the sum of the

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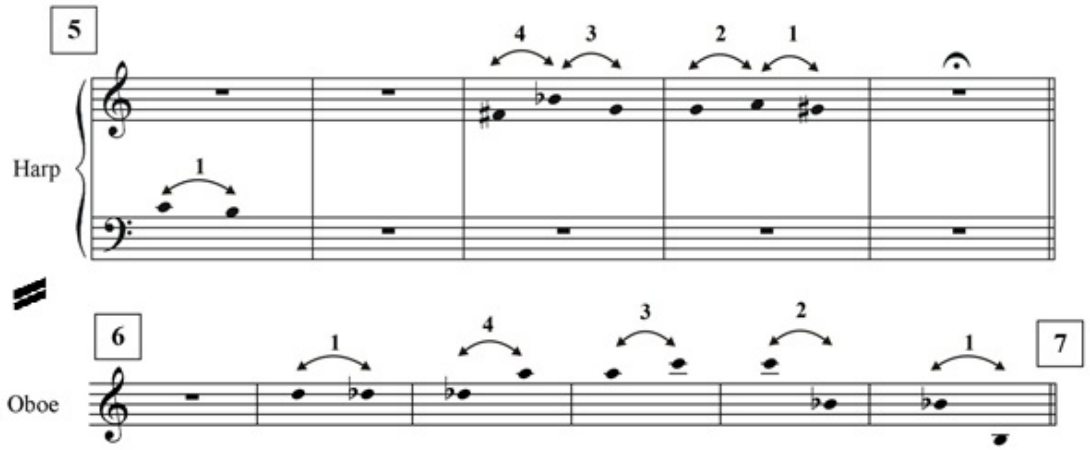
[127]Dmitry Shulgin, *Gody neizvestnoti Al'freda Shnitke* (Moscow: Delovaya liga, 1993): 64, quoted in Victoria Adamenko, *Neo-Mythologism in Music: From Scriabin and Schoenberg to Schnittke and Crumb* (New York: Pendragon Press, 2007), 192-3. See also Schmelz, 309.

[128]Adamenko, *Neo-Mythologism in Music*, 192.

[129]For the reason that Schnittke avoids assiduously all manner of thematic transformation and motivic repetition, it is only appropriate to refer to pitch-class sets by their ordered content rather than label them as themes or motifs. In the present and subsequent analyses, I will use the letters "A" and "B" to refer to pitch-classes {10} and {11} in modulo 12 respectively.

unordered intervals in each line yields eleven, which is the sixth prime in the series: 1, 2, 3, 5, 7, 11 (The first line: 1+4+3+2+1= 11, the second line: 1+4+3+2+1=11).

Figure 3-1. A score reduction of rehearsals 5 and 6 showing the third pair of ordered sets as related by their unordered pitch-class intervals



In terms of pitch organization, the prime number series together with composite numbers 6 and 11 play a palpable role in the underlying structure of the entire section (rehearsals 1 – 6).[130] As will become clear in the following discussion of structural features, the numbers 6 and 11 recur time and again, substantiating their importance in the overall design.

At rehearsal 1, the harp makes its entrance with ordered pitch-class set <B10BA0>, which begins with pitch-class B (or pc 11), corresponding numerically to the

[130]In the chapter entitled "Numerology," Adamenko writes that Schnittke "incorporated compound numbers along with prime numbers, aiming for a total formal control through the use of three types of pitch organization: serial, tonal, and one based on Eratosthenes's progression" in his *Symphony No. 1* (see Adamenko, *Neo-Mythologism in Music*, 193). It is not clear whether Adamenko was referring to *compound numbers* as defined in mathematics or numerology. In mainstream numerology, compound numbers (double-digit numbers) appear only in the Chaldean system to represent metaphysical influences on a person. Given the musical context, I believe that Schnittke made use of *composite* numbers instead of *compound* numbers in both his Symphony No.1 and Double Concerto for Oboe, Harp, and String Orchestra. The ambiguity arises likely in the process of translation.

sixth prime in the Eratosthenes series, 11. Furthermore, as illustrated in Figure 3-2 and summarized in Table 3-2, the total number of different pitch-classes played by the harp in each rehearsal number corresponds to the prime number whose ordinal position in the prime number series equals the rehearsal number. In other words, in rehearsal 1, the harp plays only one pitch-class; in rehearsal 2, it plays two pitch-classes; in rehearsal 3, three pitch-classes; in rehearsal 4, five pitch-classes and so on and so forth.

Figure 3-2. A score reduction of rehearsals 1 – 6 showing the relationship between pitch organization and the Eratosthenes series

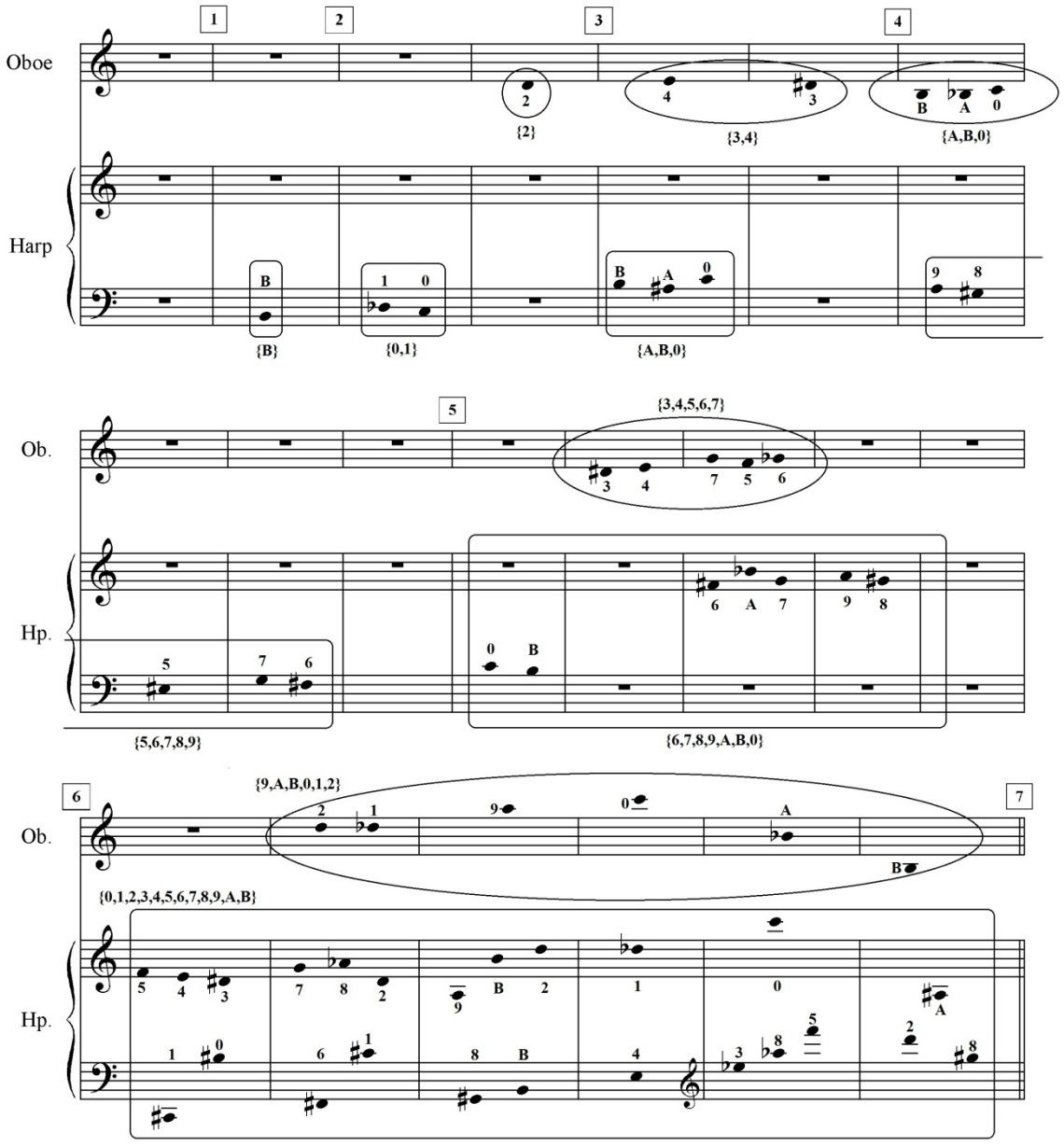


Table 3-2. Correspondence between number of pitches and the Eratosthenes series

Rehearsal Number	The first six prime numbers as presented by the Eratosthenes series	Total number of different pitch-classes played by the harp	Total number of different pitches played by the oboe
1	1	1	-
2	2	2	1
3	3	3	2
4	5	5	3
5	7	7	5
6	11	12	6

As the section draws to a close at rehearsal 6, the solo instruments follow the prime number series more loosely. Unlike previously, the harp no longer plays single lines, but multiple lines with both hands. The right hand part plays a total of eleven different pitch-classes with pitch-class 6 omitted from the aggregate. If all the pitches in the harp part are taken into consideration, the aggregate is complete but the subtlety of the underlying process at play will be lost. Likewise, the oboe part deviates from strict mimicry of the number of pitch-classes the harp plays. In rehearsal 6, it plays six instead of seven different pitch-classes. While these aberrations can be construed as signs of structural disintegration, they are perhaps better understood as a reassertion of the significance of the numbers 6 and 11 in the overall structural design of the section on the one hand, and reflections of Schnittke's abhorrence of strict patterns and formulations on the other. With regard to Schnittke's view on formalism, biographer Alexander Ivashkin recalls:

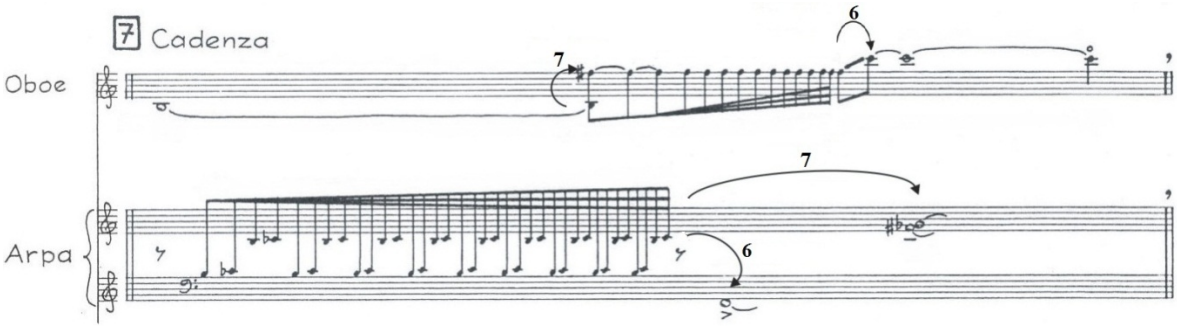
> He was seeking to evaluate the true potential of a strict technique like serialism, a type of technique that he used in his own works of the 1960s. In the latter years of the decade, he came to realize that serialism (or any other strict technique) is, in its way, an attempt to formalize the processes of real life—to put them, as it were, into a universal formula. He dislikes that kind of procedure, being convinced that all life processes are dynamic and unpredictable, and irreducible to any kind of "pattern."[131]

As the harp opens the Eratosthenes section with ordered pitch-class set <B10BA0> and the enunciation of pitch-class B, oboe, as the other solo instrument, concludes the section by delineating pitch-class set <2190AB>, one that ends with pitch-class B. In such a manner, the balance between the two solo instruments is achieved.

3.2.1.2 Cadenza I (Rehearsal 7)

In the one-measure first cadenza, both solo instruments begin on pitch-class B, the pitch class that opens the concerto. While the oboe passes through interval 7 (perfect-fifth) before interval 6 (tritone), the harp takes the opposite intervallic route by starting with interval 6 and passes through interval 7 (see Figure 3-3).

Figure 3-3. First Cadenza (Alfred Schnittke *Konzert für Oboe, Harfe und Streichorchester* © Copyright 1972 by Universal Edition A.G., Wien/UE 15125)



[131]Ivashkin, *Alfred Schnittke*, 85.

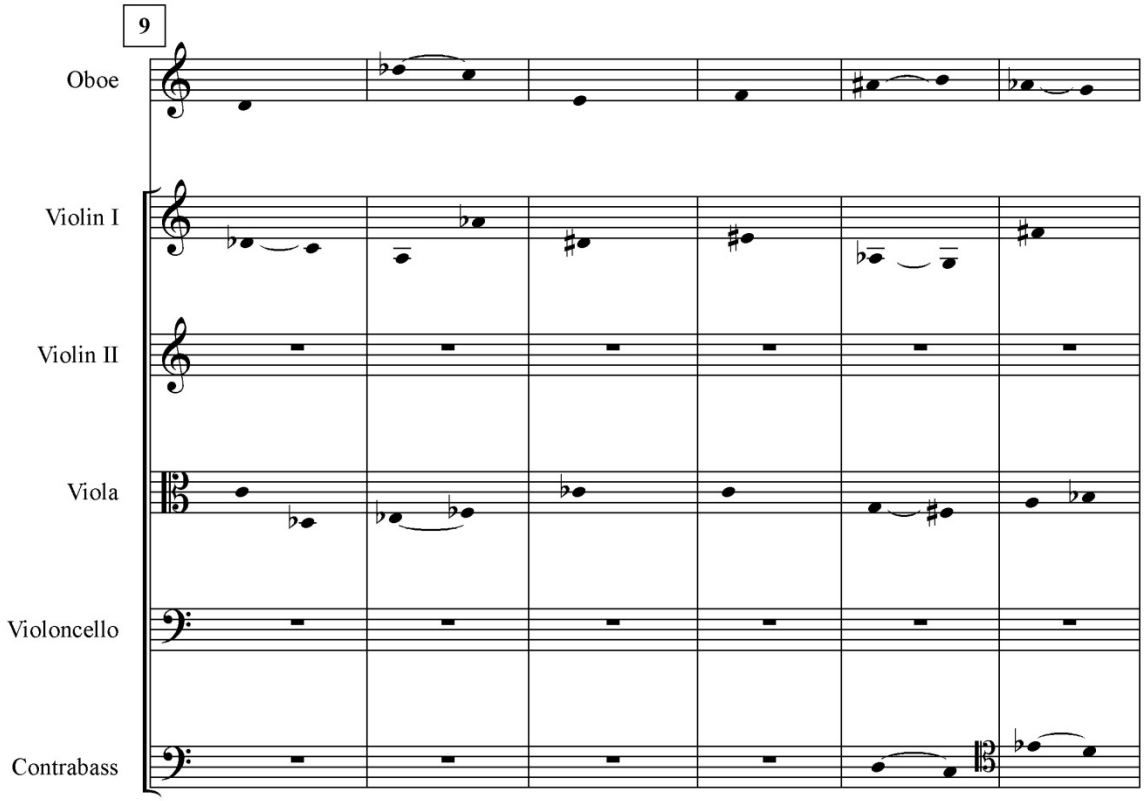
In this context, interval 7, the perfect interval of parallel organum, and interval 6, the *diabolus in musica*, likely signify consonance and dissonance respectively. In this extremely brief passage, Schnittke not only encapsulates characteristics of the development of music from the Middle Ages to the early twentieth century, but also juxtaposes the dichotomies between the old and the new, tonality and atonality, and concord and discord.

In addition to the atypical brevity, the complete absence of virtuosic display, the soloists playing simultaneously, and the placement of the cadenza near the beginning of the concerto all contribute toward the cadenza's utmost unorthodoxy.

3.2.1.3 The Sighing Section (Rehearsals 8 – 12)

The one- and two-note segments that make up the oboe line underscore the traditional "sighing" figure of a descending half step (see Figure 3-4).

Figure 3-4. Score reduction of an excerpt from the sighing section (rehearsal 9) showing the predominant short phrases and sighing figures of the section



From Schnittke's writings of the 1970s, it is apparent that the age-old signifier of the sigh has not lost its import.[132] The descending minor seconds permeate the solo and ensemble parts, imbuing the entire section with an overwhelming sense of lament and loss.

The harp part, perpetually descending, acts as an ambient murmur. It repeats members of set-class 7-33 in three different configurations: <864320A>, <B976531>,

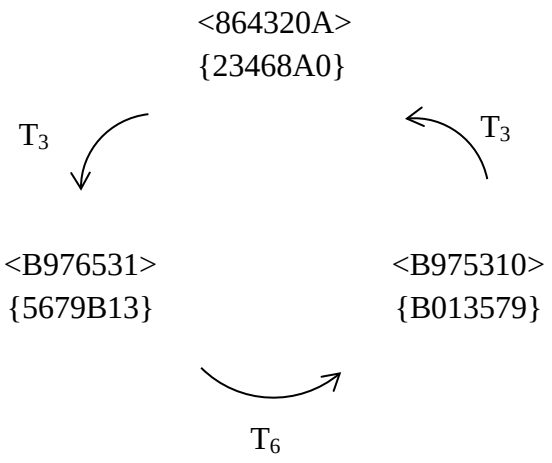
[132]In his article "On Concerto Grosso No.1," Schnittke describes his use of the sighing figure in the piece:

> So into the framework of a neoclassical Concerto Grosso I introduced some fragments not consonant with its general style, which had earlier been fragments of cinema music: a lively children's chorale . . . , a nostalgically atonal serenade—a trio . . . guaranteed as genuine Corelli, "made in the USSR," and my grandmother's favorite tango . . . . But all these themes are perfectly consonant with each other (a falling sixth, the sighs of seconds), and I take them all completely seriously.

(*A Schnittke Reader*, 45-6) and in the article "Ligeti's Orchestral Micropolyphony," Schnittke discusses Ligeti's use of the sighing figure as follows: "The most characteristic motif, a falling minor second, is deprived of conventional expressive effect (the traditional motif of a 'sigh') by a return to the initial note, which neutralizes it (a 'sigh'; is expressive; 'inhaling' and 'exhaling' are not)." (Ibid., 225.)

and <B975310>. These septachords are related by transpositions T_3 and T_6 as follows (Figure 3-5):

Figure 3-5. Transformations between the three 7-33 pitch-class sets



Set-class 7-33 comprises the whole-tone scale (6-35) and any one pitch-class from the whole-tone scale's complementary set. The three 7-33 septachords expressed in terms of the whole-tone scale and their respective added pitch-class are 6-35{02468A} plus {3}, 6-35{13579B} plus {6}, and 6-35{13579B} plus {0}. The added complementary pitch-classes ({3}, {6}, and {0}) correspond to the levels of transposition (T_3, T_6, and T_0) amongst the various 7-33 manifestations, enhancing the section's structural coherence. Set-class 7-33, embedding the whole-tone scale, foreshadows the arrival of the whole-tone section.

3.2.1.4 The Whole-Tone Section (Rehearsals 13-17)

The whole-tone section makes the impression of a thick aggregate sound cloud with no discernible thematic transformations or recurrent motivic patterns. The

underlying musical components and structure are minimalist in nature but meticulous in design. The two principal instruments, each starting with a different form of the whole-tone scale (6-35{02468A} and 6-35{13579B}), alternate between the two forms at every rehearsal number. The ensemble reinforces the simplicity of the constitution by splitting the two whole-tone forms evenly amongst the instrumental groups with each group spelling out their allocated scale in a descending whole-tone line. At any one rehearsal number, the entire aggregate can be heard over a descending chromatic line carried by a lone instrumental group in the ensemble. The presence of the chromatic line is, however, secondary. It merely reifies and reaffirms the listener's perception of a continuous descending line.[133] As the pulse of the solo parts quickens, more instruments join in and the culminated effect resembles the draw of a powerful undercurrent.

3.2.1.5 The Diminished Section (Rehearsals 18 - 21)

The entire section is made up of what are termed diminished-seventh sonorities in tonal music or members of set-class 4-28. As shown in Table 3-3, the three forms of 4-28 ({0369}, {147A}, and {258B}) each makes one appearance in the solo parts. At rehearsal 18, the oboe takes up {147A} while the harp, supported by the ensemble, makes up the complementary octatonic scale. Aggregate completion thus runs as a common thread between the previous whole-tone section and the current section.

[133]According to the Gestalt principles of continuity and closure, we tend to group and complete oriented units into familiar wholes. Research has shown that Gestalt principles which were initially applied to visual perception only, may have cross-modal relevancy and affect also auditory perception. See Albert Bregman, *Auditory Scene Analysis: the Perceptual Organization of Sound* (Cambridge: The MIT Press, 1990), Maria Anna Harley, "Spatiality of Sound and Stream Segregation in Twentieth Century Instrumental Music," *Organized Sound: An International Journal of Music Technology* 3/2 (1998): 147-66, and Michael Kubovy and David Van Valkenburg, "Auditory and Visual Objects," *Cognition* 80/1-2 (2001): 97-126.

Table 3-3. Pitch organization for the diminished section

	Oboe	Harp	Ensemble
18	{147A}	{0369},{258B}	{0369},{258B}
19	{0369}	{147A}	{147A},{0369},{258B}
20	--	6-5{67AB01}, 6-17{67B013}	{147A},{0369},{258B}
21	{258B}	--	{147A},{0369},{258B}

An unusual feature takes place at rehearsal 20 where the harp strums two chords represented by pitch-class sets 6-5{67AB01} and 6-Z17{67B013}. Initially, the presence of the hexachords brings about the utmost befuddlement to the analyst. These pitch-class sets appear only for this one instance in the entire concerto. They are neither derivations from previous sections nor are they progenitors for materials to follow. Yet, their figuration, their placement in the solo part against a backdrop of 4-28 sonorities devoid of all directions and goals, and their dynamic intensity, all seem to highlight the hexachords' significance. Ultimately, it is their structural common denominator, an invariant tetrachord consisting of double tritones that holds the explanation: {0167} from set-class 4-9.[134]

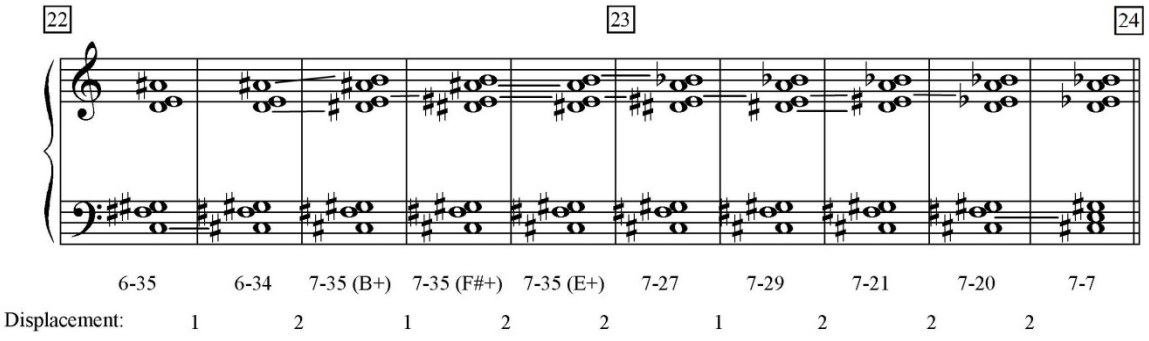
3.2.1.6 The Recapitulation (Rehearsals 22 - 24; 25 - 26)

The section introduces aleatoricism in both the ensemble and the solo oboe parts. However, the defining feature of the section resides in the ingenious design whereby previous sections are brought back and united, not by repetition or disguised under

[134]Tetrachord 4-9 belongs to a group of three tetrachords that contain double tritones, or diminished fifths, in their constitution, the other two set-classes being 4-25{0268} and 4-28{0369}. The two diminished fifths in tetrachord 4-9 are related by a minor second while those in set-classes 4-25 and 4-28 are related by a major second and a minor third respectively. Therefore, set-class 4-9 has a higher level of relevance in the diminished section.

transformation, but in the most subtle and laconic manner. The harp commences with the whole-tone scale 6-35 at rehearsal 22 and reaches septachord 7-7 {89A1234} at rehearsal 24 by means of a process of maximally-smooth voice-leading (see Figure 3-6).[135]

Figure 3-6. Maximally-smooth voice-leading in recapitulation



Like the two hexachords from the previous section (6-5{67AB01} and 6-Z17{67B013}), set-class 7-7 appears only in the present section and expresses itself in only one form. It does not appear to have any overall thematic or generative role in the concerto. The reason behind its selection as the destination for the progression from rehearsals 22 to 24 can only be discerned if we consider the opening sonority of the section. Set-class 6-35 represents the essence of the whole-tone section, saturating it entirely (rehearsals 13 - 17**)**. The diminished section following (rehearsals 18 - 21) consists of nothing but the diminished-seventh tetrachord, 4-28, and the two pivotal hexachords, 6-5{67AB01} and 6-Z17{67B013}. The key to the connection between the diminished section and set-class

[135]In order to describe the voice-leading between pitch-class sets of different sizes (e.g., between hexachord 6-34 and septachord 7-35), I have chosen to follow Joseph N. Straus's methodology of *voice-leading smoothness* whereby the *displacement* (or maximally-smooth voice-leading) between two pitch-class sets is measured in terms of the sum of semitones each pitch-class needed to travel to move from one set-class to the next. See Joseph N. Straus, "Uniformity, Balance, and Smoothness in Atonal Voice Leading," *Music Theory Spectrum* 25/2 (2003): 305-49. The terms parsimonious and smooth are used interchangeably here.

7-7 lies in the hexachords from the diminished section. The two hexachords, 6-5{67AB01} and 6-Z17{67B013}, share the invariant subset {67B01} which represents set-class 5-7. The ending sonority at rehearsal 24, pitch-class set 7-7{89A1234}, therefore makes the connection with the diminished section by representing the complementary set-class to the pivotal chords' invariant subset. More precisely, the manifestation of set-class 7-7 in the present section is T_6I of the complementary set of 5-7 {67B01}. That is, 7-7{89A1234} = T_6I {234589A}.

The transformation series takes unique features from two preceding sections and links them together by means of minimal displacement as shown in Figure 3-6. The function of the modulation is such that on the one hand it is a modified recapitulation of previous sections, and on the other it smoothes out the abruptness of the transition between the two sections and highlights their structural similarities.

While the harp recapitulates, the oboe makes textural references to the former sections. At rehearsal 22, the oboe engages mostly in motions of seconds that morphed gradually into full chromaticism at the end of the rehearsal number. Both of these musical gestures are reminiscent of the sighing section (rehearsals 8 - 12). The four pitches {026A} (set-class 4-24) at rehearsal 24 harks back to both the whole-tone section (rehearsals 13 - 17) and the subsequent diminished section (rehearsals 18 - 21) by being at once a direct subset of the whole-tone scale 6-35{02468A} and the structural inverse of set-class 4-28.[136]

[136]Set-class 4-28 with interval-class vector [004002] represents the fully diminished seventh chord in tonal music. Made up of a diminished triad and a minor-seventh interval, tetrachord 4-28 contains no major intervals in its constitution. Set-classes 4-24 (icv [020301]) and 4-19 (icv [101310]), the only two tetrachords that contain an augmented triad (3-12), can be conceived as structural opposites to set-class 4-28. Although both 4-24 and 4-19 are constructed on the basis of an augmented triad, the makeup of set-class 4-24 is such that the pitch-class added to the augmented triad is a major second above or below any of the component pitches while in the case of set-class 4-19, the additional pitch-class is a minor second

At rehearsal 25, the concerto enters into a restatement of the recapitulation section. The two principal instruments sustain the melodic line <A316B4>, articulating a member of set-class 6-Z25 that provides the textual components for tonal allusion. The six-note melody contains the root and the fifth of the E major triad and all the pitches of the B major and F♯ major triads. It suggests strongly the diatonic major scales in the modulatory section at rehearsal 22. However, with the mediant of the E tonic chord missing, leaving the quality of the chord uncertain, the true nature of the melodic line 6-Z25<A316B4> and that of the passage are nebulous. The clarification comes at the very end of rehearsal 26 in the form of septachord 7-32 {34689B0}. Representing the E harmonic major scale[137] and the superset that subsumes set-class 6-Z25, the septachord affirms the structural significance of the melodic line 6-Z25<A316B4>. Furthermore, it completes the abstraction of the modulatory section by alluding to a tonal center of E major, thereby strengthening the character and coherence of this summary of the recapitulation section as a whole.

Figure 3-7 shows the conclusion of the section with each instrument in the ensemble staggering its entrance and playing an eleven-note line composed of three chromatic notes, three notes from a diminished triad, three notes from a major tonic chord and two notes from a tritone. It is thus in the span of a single measure that Schnittke combines and reiterates the different sonorities. Table 3-4 summarizes the section's structural components and their interconnections.

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away from the component pitches. Structurally, therefore, set-class 4-24 makes a more poignant contrast to set-class 4-28 than set-class 4-19. This analytical perspective is reflected also in the set-classes' interval-class vector.

[137]The E harmonic major scale is equivalent to the E major scale with a lowered sixth degree first mentioned by Moritz Hauptmann, Karl Friedrich Weitzmann, and Rimsky-Korsakov. See Dmitri Tymoczko, *A Geometry of Music: Harmony and Counterpoint in the Extended Common Practice* (New York: Oxford University Press, 2011), 126.

Figure 3-7. Last measure from rehearsal 26 (Alfred Schnittke *Konzert für Oboe, Harfe und Streichorchester* © Copyright 1972 by Universal Edition A.G., Wien/UE 15125)

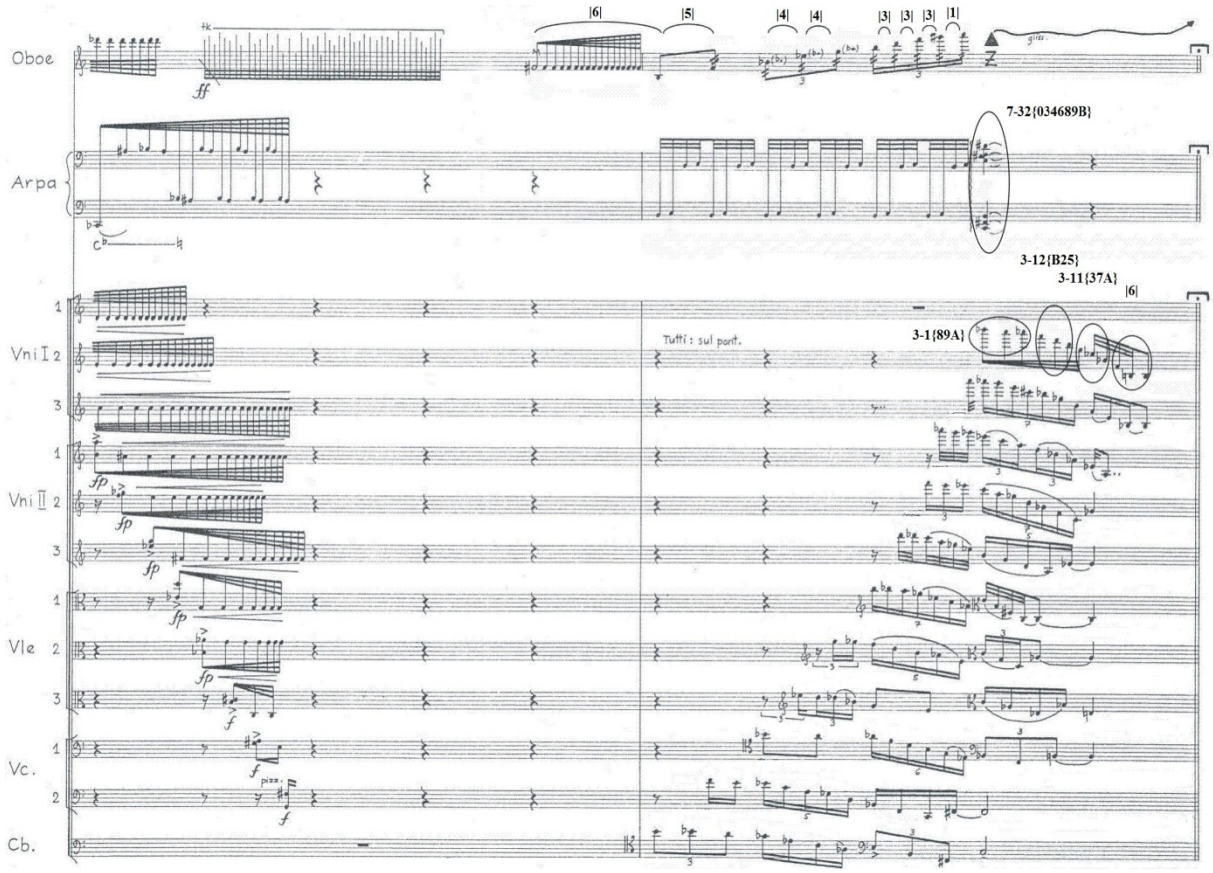


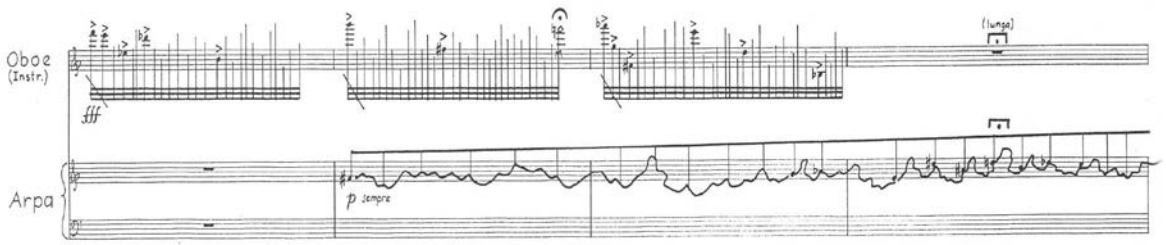
Table 3-4. Structural summary of recapitulation 22-24; 25-26

	Oboe	Harp	Ensemble
22 23	Minor-second and major-second motions in small 2-, 3-note units. Chromaticism at the end.	Progression: 6-35 →6-34 →B+→ F♯+ →E+ →7-27→ 7-29→ 7-21 → 7-20 → 7-7<123489A>	Vertical chromatic clusters (aggregate)
24	4-24<A026>	7-7 {89A1234}	Introduces aleatoric elements
25	Leading with 6-Z25<A316B4>. Interjected by *ff* aleatoric filler	6-Z25<A316B4> = combination of notes from B+, F+ and E/e	Minor-second chromaticism, always descending.
26	As above. Melodic interval shrinks from P5 to P1 unison.	7-32{34689B0} = E harmonic major scale	Sectional summary chord: 3-note chromaticism + diminished triad + tonic triad + tritone, ascending in pitch

3.2.1.7 Cadenza II (Rehearsal 27)

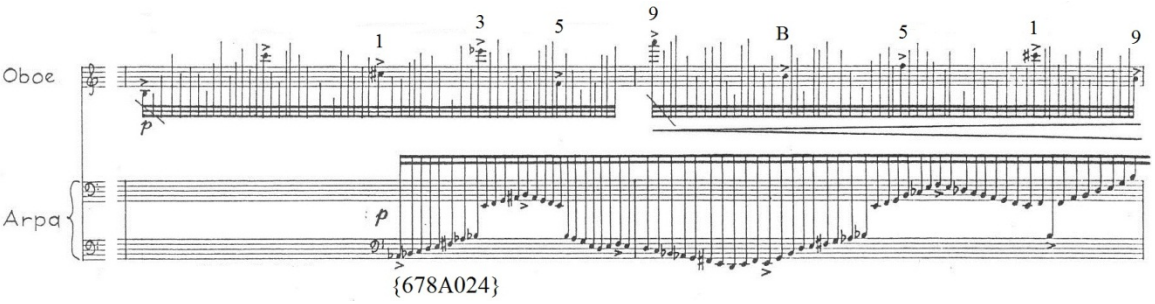
As in traditional cadenzas, improvisation plays a key role in the second cadenza. Both soloists improvise within the boundaries of controlled aleatoricism as specified by Schnittke in terms of contour outlines (Figure 3-8).

Figure 3-8. Excerpt from Cadenza II (Alfred Schnittke *Konzert für Oboe, Harfe und Streichorchester* © Copyright 1972 by Universal Edition A.G., Wien/UE 15125)



When they are not improvising, the soloists make use of materials from previous sections. Figure 3-9 shows the harp articulates septachord {678A024} while the oboe engages in a semi-improvisatory passage wherein the "notated" pitches make up the complementary set 5-33{9B135}.

Figure 3-9. Excerpt from Cadenza II showing the harp brings back pitch material from previous sighing section while the oboe engages in semi-improvisation (Alfred Schnittke *Konzert für Oboe, Harfe und Streichorchester* © Copyright 1972 by Universal Edition A.G., Wien/UE 15125)

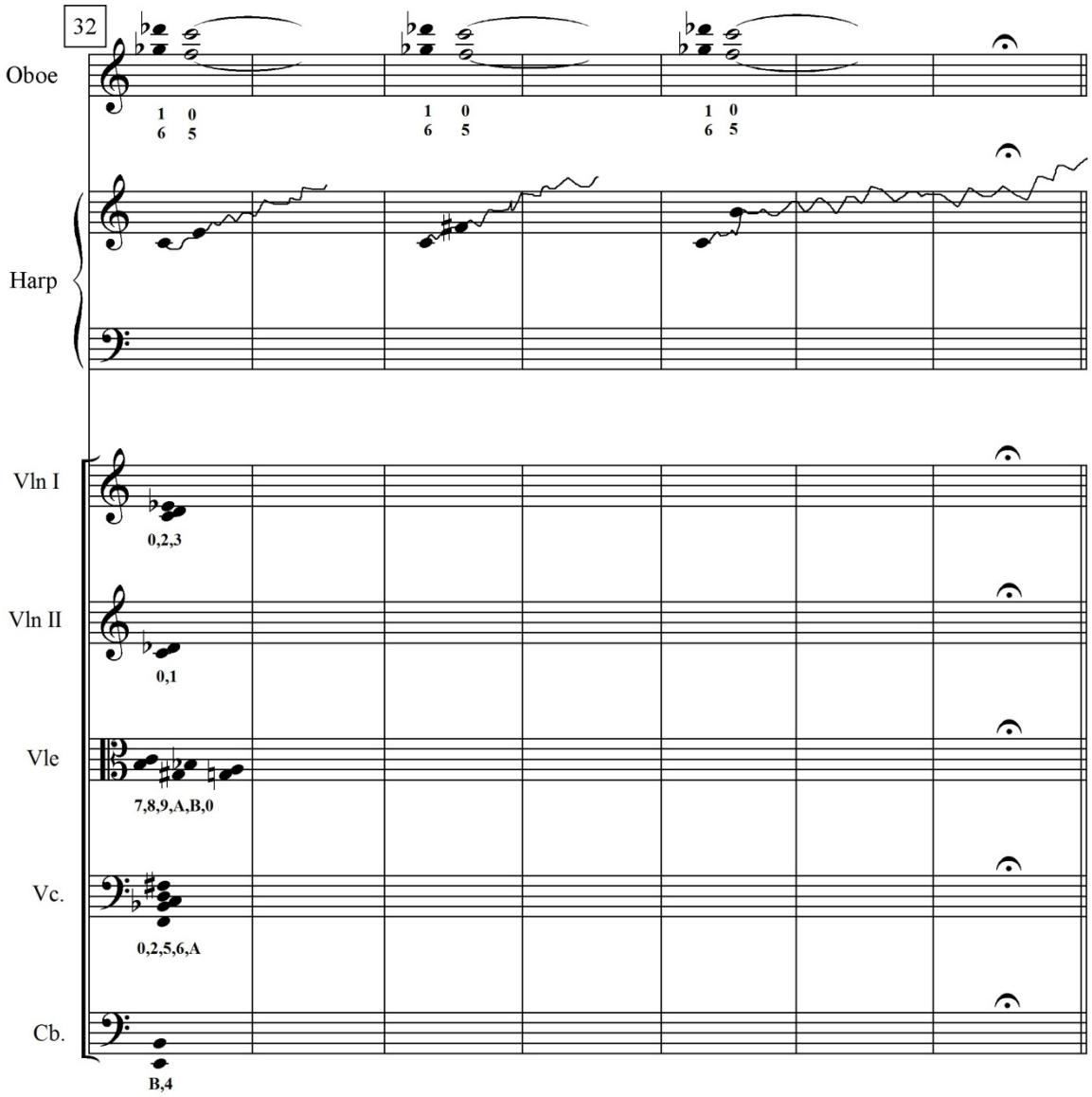


The septachord played by the harp belongs to set-class 7-33, a set-class strongly reminiscent of the sighing section (rehearsals 8 - 12). Yet, its pitch-class set manifestation here in the second cadenza is foreign to the sighing section, thus any direct reiteration of pitch material is avoided. Further, in order to persevere in the abstinence of thematic and motivic development and to attenuate the presence of returned materials, throughout the second cadenza, recurrent materials are either interspersed with aleatoric lines, or concatenated following no particular order and set against aleatoric lines.

3.2.1.8 The Interval-6/7 Section (Rehearsals 28, 29 - 32)

In the last section of the concerto, the ensemble plays in *tutti* with each instrument playing a different harmonic interval. This *tutti* acts as the sonic backdrop for the oboe, which alternates between the ordered intervals 6 and 7. In rehearsal 30, the harp participates briefly in a melodic line, which comprises two tritones and a diatonic triad and is represented by pitch-class set 7-30{014579B}. Contrary to a similar, previous encounter in the first cadenza, the conflict between intervals 6 and 7 comes to a very different resolution. After its initial statement, interval 6 quickly gives way to an extended section whereby the oboe asserts forms of interval 7. Figure 3-10 shows the end of the concerto where the oboe sustains interval 7 while the ensemble articulates the aggregate and the harp improvises an aleatoric passage.

Figure 3-10. Excerpt from the end of the concerto where interval 7 is asserted



3.3 Summary Observations

In his book, *A Guide to Musical Analysis*, musicologist Nicholas Cook writes:

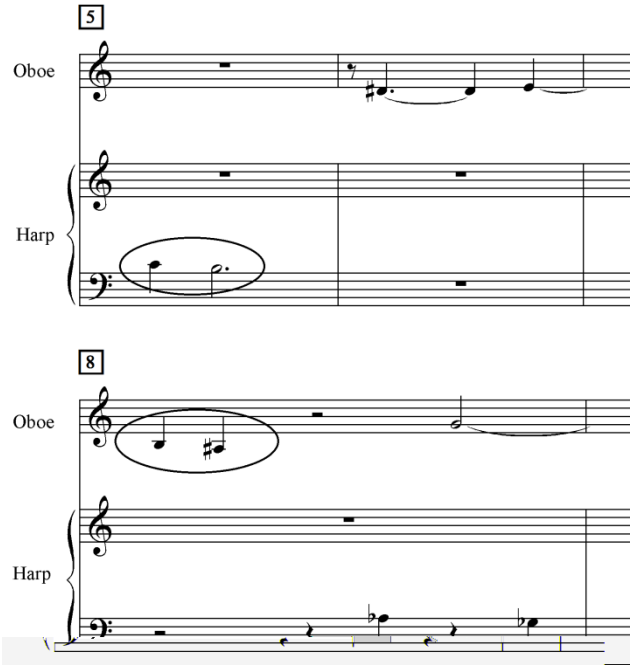
> The motivic technique of Schoenberg's atonal music, which prefigures Schoenberg's serial technique, is the culmination of a historical process going back through Wagner and Liszt to Beethoven. All these composers relied heavily on brief, recurrent motifs; this is one of the most obvious things about their

> music—particularly Wagner's, the point of whose leitmotifs is that they must be immediately recognizable even when half buried in a complex texture.[138]

Given the polystylistic aspect of Schnittke's music and the prevalence of motivic development through time, it might seem appropriate initially to study the present work through thematic analysis. However, it quickly becomes apparent that the double concerto is bereft of any traditional motivic recurrence or transformation. There are no melodic themes, monograms, rhythmic patterns, or signature harmonies to be reckoned with. The one-movement concerto first appears as a desultory amalgam put together by concatenating totally unrelated sections. There are, however, two factors that contribute to the overall unity of the piece. The first thread of continuity acts like a deeply buried tunnel in the musical structure where a structural feature of the section to follow is always found hidden in the section immediately preceding it, thereby connecting section to section. The feature that connects the Eratosthenes section to the sighing section is a two-note descending figure (Figure 3-11). This figure, dropping a semitone and isolated from the rest of the melodic line, appears once in the Eratosthenes section at rehearsal 5 and it opens the sighing section at rehearsal 8. It is then not to be found again in the concerto. The entire sighing section is, however, generated from the falling-second motion and the brusqueness of phrasing it implies.

[138]Nicholas Cook, *A Guide to Musical Analysis* (Oxford; New York: Oxford University Press, 1994), 91.

Figure 3-11. Falling minor-second figure connecting the Eratosthenes and sighing sections (Alfred Schnittke Konzert für Oboe, Harfe und Streichorchester © Copyright 1972 by Universal Edition A.G., Wien/UE 15125)



The sighing section then prepares the way for the whole-tone section by embedding the whole-tone scale in set-class 7-33, which made up the part of the harp. The whole-tone section and the following diminished section share two features. First, they are both built from maximally symmetrical set-classes. The whole-tone set-class 6-35 has a degree of transpositional symmetry of 3 and a degree of inversional symmetry of 3, and thus has the highest degree of transpositional and inversional symmetry among all hexachords. Likewise, set-class 4-28 has the highest degree of symmetry in its cardinality. Second, the arrangement and distribution of musical material among the solo and ensemble parts in both the whole-tone and diminished sections epitomize the idea of aggregate completion. From there on, the recapitulation section brings back the immediate previous two sections by means of a maximally-smooth progression that opens with a representative sonority of

the whole-tone section and closes with a sonority that is closely related to the diminished section. In the second cadenza, the two solo instruments, which are given significant improvisatory freedom, bring back fragments reminiscent of previous sections. The final interval-6/7 section connects with the first cadenza by reiterating the dichotomy of the perfect-fifth and tritone intervals, only with a different outcome this time.

The second unifying factor of the concerto is not structural but phenomenological. Throughout the movement, a strong sense of dysphoria is impressed upon the listener. The *ethos* or, for a more modern term, *affect* expressed is constant. It varies in intensity but not in kind. The aesthetic concept of ethos can be traced to ancient Greek music and rhetoric, from which the German school of *Affektenlehre* (Theory of affects) is derived. The affects, defined as "rationalized emotional states or passions" find their expression in music as early as the sixteenth century.[139] Pitch, timbre, tempo, articulation, rhythms and pitch organization can all influence the experience of affects. There have been attempts since the seventeenth century to categorize affects and the musical devices that produce them. Yet there can be no definitive rules that guarantee the production of affects. The emotional state or musical phenomenon that listeners undergo is the product of their entire musical experience.[140] Following this argument, it is not the falling seconds, the

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[139]George J. Buelow, "Affects, theory of the." In *Grove Music Online*. *Oxford Music Online*, http://www.oxfordmusiconline.com.proxy1.lib.uwo.ca:2048/subscriber/article/grove/music/00253 (accessed August 20, 2009).

[140]Ibid.; Diana Deutsch, et al., "Psychology of music." In *Grove Music Online*. *Oxford Music Online*, http://www.oxfordmusiconline.com.proxy1.lib.uwo.ca:2048/subscriber/article/grove/music/42574pg3 (accessed August 20, 2009); George J. Buelow, "Figures, theory of musical." In *Grove Music Online*. *Oxford Music Online*, http://www.oxfordmusiconline.com.proxy1.lib.uwo.ca:2048/subscriber/article/grove/music/09625 (accessed August 20, 2009); Nancy Kovaleff Baker, et al., "Expression." In *Grove Music Online*. *Oxford Music Online*, http://www.oxfordmusiconline.com.proxy1.lib.uwo.ca:2048/subscriber/article/grove/music/09138 (accessed August 20, 2009); Warren Anderson and Thomas J. Mathiesen, "Ethos." In *Grove Music Online*. *Oxford Music Online*,

diminished-seventh chords, the descending melodic lines, the chaotic aleatoric devices, or the timbral discord in the concerto that conveys a feeling of immense sadness and desolation, but the amalgamation of all the elements under the given musical context. There is thus an expressive unity among all musical entities. Like most composers from the seventeenth and early eighteenth centuries, Schnittke seeks here a single affect, a rational unity.[141] Musicologist Seth Brodsky writes that Schnittke wrote the piece as a memorial to two of his closest friends.[142] There is no indication on the published score of such a fact and verification is yet to be found in Schnittke's documents. However, the fact remains that the phenomenological aspect of the concerto does corroborate the reading of the piece as an impassioned elegy; an instrumental piece lamenting the death of someone known intimately to the composer.

For Schnittke to write a work in his friends' memory and yet omit any indication of his intention and avoid giving it any descriptive titles other than naming it a concerto may well bespeak the fact that Schnittke not only believes in the narrativity of music, but trusts in its substantive power. Each listener's experience of the composition is determined by the individual Jungian archetypal image that he or she calls forth, which may or may not agree with the composer's intended archetypal image as manifested through the musical work or images arising in the consciousness of other members of the audience. The lack of an explicit title or programme thus undermines the grand narrative and encourages plurality and diversity in interpretation. In a gesture that typifies the

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http://www.oxfordmusiconline.com.proxy1.lib.uwo.ca:2048/subscriber/article/grove/music/09055 (accessed August 20, 2009).

[141]Buelow, "Affects." (accessed August 20, 2009).

[142]Seth Brodsky, "Concerto for Oboe, Harp, and Strings: Composition Description" program notes for AllMusic [database on-line], http://www.allmusic.com/cg/amg.dll?p=amg&sql=42:53839~T1 (accessed August 20, 2009).

postmodern outlook, Schnittke surrenders the once totalizing power of the composer over to the audience.

CHAPTER 4

INDETERMINACY IN SCHNIITKE'S CONCERTO FOR PIANO AND STRINGS

4.1 Introduction to Indeterminacy

Ihab Hassan defines *indeterminacy*, one of the two major tendencies of postmodernism as follows:

> By indeterminacy, or better still, indeterminacies, I mean a combination of trends that include openness, fragmentation, ambiguity, discontinuity, decenterment, heterodoxy, pluralism, deformation, all conducive to indeterminacy or under-determination. The latter concept alone, deformation, subsumes a dozen current terms like deconstruction, decreation, disintegration, displacement, difference, discontinuity, disjunction, disappearance, de-definition, demystification, detotalization, delegitimation, decolonization.[143]

In the postmodern era, traditional values give way to the coexistence and integration of formerly marginalized ideas. In his book *Problems of Dostoevsky's Poetics*, Russian literary theorist and philosopher Mikhail Mikhaylovich Bakhtin expresses what appears in the postmodern cultural realm through his philosophy of dialogism.[144] According to Bakhtin's line of dialogical inquiry, *pluralism, polyphony, unfinalizability* and *carnival* encourage the emergence of truth and are thus valued over monologism or consensus.[145]

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[143]Hassan, "From Postmodernism to Postmodernity": 4.

[144]Bakhtin, *Problems of Dostoevsky's Poetics*.

[145]Briefly defined, *pluralism* refers to the existence of multiple perspectives and conceptualizations with regard to any object or idea. *Polyphony* refers to the simultaneous sounding of distinctive and individual authorial voices. *Unfinalizability* refers to the impossibility of drawing any definitive conclusion about a person/object due to the person/object's inherent potential and possibility for change. See Chapter 2, n.83 for definition and reference for *carnival*.

Bakhtin believes that truth is born in the process of continual dialogic exchange between multiple consciousnesses. In an environment of monologism, dialogic interaction does not exist, and therefore the "truth" born of monologism is one-sided and incomplete. In an environment of dialogism, however, the multitude of distinct voices from the high and the low, the sacred and the profane, and the wise and the foolish not only encourages vibrant dialogic interaction but its sense of carnival enervates the dogmatism and solemnity of monologic dialectics. The liability of change precludes the forming of definitive opinion, thus giving rise to *unfinalizability*, which ensures the continuation of truth-seeking dialogue.[146] At the very foundation of Bakhtin's philosophy of dialogism is his notion of human consciousness. It is the combination of the "self," the "other," and the responsive intersubjective exchange between the two that constantly informs and molds human consciousness.[147] As mentioned in Chapter 2, Bakhtin's philosophy resonates with Hassan's conception of postmodernism. Like Bakhtin's dialogism, Hassan's notion of indeterminacy describes the impact of postmodernism on consciousness. Indeterminacy is an umbrella term that encompasses not only the decanonization of traditional values and the openness to fragmentation and anarchy that become the modus operandi of the postmodern, but it also expresses the confused mental state and the psychological turmoil that arise out of the decentralization and dissolution of hierarchy.

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[146]Bakhtin writes: "the single and unified consciousness is by no means an inevitable consequence of the concept of a unified truth. It is quite possible to imagine and postulate a unified truth that requires a plurality of consciousnesses, one that cannot in principle be fitted into the bounds of a single consciousness, one that is, so to speak, by its very nature *full of event potential* and is born at a point of contact among various consciousnesses. The monologic way of perceiving cognition and truth is only one of the possible ways. It arises only where consciousness is placed above existence, and where the unity of existence is transformed into the unity of consciousness," see Bakhtin, *Problems of Dostoevsky's Poetics*, 81; 107-111.

[147]John Fiscalini and Alan L. Grey, ed., *Narcissism and the Interpersonal Self* (New York: Columbia University Press, 1993), 281-2.

In postmodern music, indeterminacy often manifests itself in the matter of form.[148] As Russian musicologist Marina Lobanova observes, in a dialogical context "genre becomes a kind of field where different points of view coexist and clash, where diverse ideas meet and compete for pride of place. The very life of genre in its dynamics is becoming an object of theoretical interpretation in our day, the age of the formation of a new conception of style and genre."[149] The development of genre takes two different directions: first, in *genre expansion* where new forms are invented through techniques like montage, transformation and parody of old genres, and second, in *genre recomposition* where new forms are created through the reinterpretation and restructuring of old forms and the inclusion and juxtaposition of formerly incompatible smaller

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[148]Twentieth-century music such as chance music, experimental music, and aleatoric music contain in them a strong element of indeterminacy and are frequently referred to as *indeterminate music*. Apologists such as Charles Ives, John Cage, and Iannis Xenakis introduce indeterminacy into their music either by incorporating randomness in the compositional process or by prescribing controlled improvisation in the performance.

[149]Marina Lobanova, *Musical Style and Genre: History and Modernity*, trans. Kate Cook (Amsterdam: Harwood Academic Publishers, 2000), 183. Lobanova notes that there is widespread confusion of *style* and *genre*. She defines *style* as "connected primarily with semantics, social attitudes and values, and also with the concepts of the composer's 'nationality' and 'natural gifts' and the most important juxtaposition of 'the old' and 'the new.' Genre presupposed above all the sphere of application and writing technique." (Ibid., 127) Further description shows that "genre also comes into contact with compositional technique in cases of quotations of writing, allusions to genre, quotations of genre or form, and in compositions based on the principles of simultaneous drama (where different styles, genres, types of lexicons and techniques of composition are naturally combined.)" (Ibid., 182) *Grove Music Online* defines *style* as:—"Style is manner, mode of expression, type of presentation. . . . A style may be seen as a synthesis of other styles; obvious cases are J.S. Bach's keyboard style or Mozart's operatic style (both comprise distinctive textural styles, distinctive harmonic styles, distinctive melodic styles, etc., and both are fusions of various stylistic traditions). . . . Style manifests itself in characteristic usages of form, texture, harmony, melody, rhythm and ethos; and it is presented by creative personalities, conditioned by historical, social and geographical factors, performing resources and conventions—." This definition agrees with that of Lobanova's. Grove's definition of *genre* is:—"A class, type or category, sanctioned by convention. Since conventional definitions derive (inductively) from concrete particulars, such as musical works or musical practices, and are therefore subject to change, a genre is probably closer to an 'ideal type' (in Max Weber's sense) than to a Platonic 'ideal form'. . . Genres are based on the principle of repetition. They codify past repetitions, and they invite future repetitions—." This definition stresses empirical knowledge and tradition and is therefore more pragmatic and formalistic in nature. Schnittke made no distinction between the terms *style* and *genre* in his writings. His definition of polystylism, with its reference to quotations and allusions of musical elements and techniques, finds relevance in Lobanova's definition of *genre* and *Grove*'s definition of *style*. In the context of this dissertation, I will adhere to Schnittke's more general application of the terms, making no distinction between them, and using them interchangeably.

forms.[150] Lobanova points out that "probably the most radical expression of individual syntax are [*sic*] the new 'composed' forms. The conscious gravitation towards creating form was always a significant landmark in the culture of ages of change, the 'nerve' of openly experimental trends. In the twentieth century this tendency is represented most richly."[151]

As will become clear in the following formal and textual analyses, the *Concerto for Piano and Strings* embodies distinctly the concept of indeterminacy in three major aspects. First, its formal structure can be interpreted as belonging to three very different schemas. Second, Schnittke's use of polysemous pitch-class constructs encourages multiple readings.[152] Third, a large-scale cycle of fourths progression that spans the second half of the concerto's compositional design is suspended just before its completion, and closure is denied until the very end of the concerto, creating a sense of discontinuity and disjunction. Together, all of the above features bolster a pluralistic, polyphonic, disjunct, and fragmented musical environment that fosters the phenomenon of indeterminacy.

4.2 Concerto for Piano and Strings (1979)

4.2.1 Formal Analysis

Dedicated to Russian pianist Vladimir Krainev and scored for a forty-four piece string orchestra, the orchestral ensemble of the piano concerto consists of twelve first

[150]Lobanova, *Musical Style and Genre*, 183-5.
[151]Ibid., 120.
[152]The terms *polysemy* and *polysemous* are treated as synonyms of *pluralism* and *pluralistic* respectively and will be used interchangeably in the discussion that follows.

violins, twelve second violins, eight violas, eight violoncellos, and four contrabasses. In reference to the conception of its form and constituent polystylistic elements, Schnittke describes the work as follows:

> In 1979 I tried to realize the long-conceived wish of writing a piano concerto for Vladimir Krainjew … however, I did not succeed. I was compelled to defer the premiere. Only later I found the desired somnambulistic security in the approach to triteness in form and dynamics—and in the immediate avoidance of the same. But if I say somnambulistic, then I also mean a certain floating by of monotonous rhythm, the passive succession of recurring chords, shadow-networks of canons for several voices and surrealistic sunrise fragments of orthodox church music. In addition, there comes still a pseudo Prokofiev activity and a blues nightmare. Also the first, a very active superficial climax loses in certain sense to real effect through its excessiveness. Then follows the slow-growing solo cadenza and afterwards the real climax, where everything—unable to create the balance between "sunshine" and "storm clouds"—shatters finally into a thousand pieces. . . . The Coda consists of dream-like soft recollections of all that came before. Only at the end does a new uncertainty arise—maybe not without hope?[153]

If the search for a satisfactory form forced Schnittke to postpone the première of the piano concerto, this only affirms the fact that form and structure receive significant consideration in Schnittke's compositional process. What Schnittke needed is an "*unaufhörlich verändernde, unbeständige* Form" (continually changing, unstable form)

[153]Alfred Schnittke, *Alfred Schnittke zum 60. Geburtstag-Eine Festschrift* (Hamburg: Internationalen Musikverlagen Hans Sikorski, 1994), 96. Author's own translation. [Im Jahre 1979 versuchte ich, den langgehegten Wunsch zu realisieren, ein Klavierkonzert für Wladimir Krainjew zu schreiben . . . doch es gelang mir nicht. Ich war gezwungen, die Uraufführung zu verschieben. Erst später fand ich die erwünschte traumwandlerische Sicherheit in der Annäherung an Banales in Form und Dynamik — und in der sofortigen Vermeidung desselben. Aber wenn ich traumwandlerisch sage, dann meine ich auch ein gewisses Vorübergleiten von monotoner Rhythmik, die passive Abfolge sich wiederholender Akkorde, Schattengeflechte mehrstimmiger Kanons und surrealistische Sonnenaufgangsfetzen orthodoxer Kirchenmusik. Hinzu kommt noch eine falsche Prokofjew-Aktivität und ein Blues-Alptraum. Auch der erste, äußerlich sehr aktive Höhepunkt verliert in gewissem Sinne an realer Wirkung durch seine Übermäßigkeit. Dann folgt die lang heranwachsende Solokadenz und danach der wirkliche Höhepunkt, wo alles — außerstande, das Gleichgewicht zwischen "Sonnenschein" und "Sturmwolken" herzustellen — endlich in tausend Stücke zerspringt . . . . Die Coda besteht aus traumhaft leisen Erinnerungen an alles Vorhergehende. Erst am Ende entsteht eine neue Ungewissheit — vielleicht nicht ohne Hoffnung?]

that encompasses and unites the past and present in one musical space.[154] In discussing musical forms as they relate to the world and times, Schnittke notes:

> The idea of concurrence of different eras in a work is not only in fashion today – it is extremely topical. And for me it was apparently solved many times and yet it has remained an unresolved task up to now: to recognize clearly the cumulative sense of today's era.[155]

The problem lies in devising a form that could accommodate multiplicity and reflect the ambiguity therein. For this one-movement concerto, Schnittke found the much sought structural mutability in a fluid combination of *two-dimensional sonata form* and variation form.

Steven Vande Moortele defines *two-dimensional sonata form* as follows:

> The combination of sections of a sonata cycle and movements of a sonata form at the same hierarchical level in a single-movement composition. . . . This form can be conceptualized as the projection of a sonata form on to an entire through-composed sonata cycle. The result is a form that unfolds in two *dimensions*—the dimension of the *sonata cycle* and that of the *overarching sonata form*. Because the composition as a whole is a sonata cycle and a sonata form simultaneously, each dimension contains apparent anomalies; they are, in other words, no longer just a sonata form or [just] a sonata cycle. Theoretically speaking, it is possible that all sections of the sonata form and all movements from the sonata cycle in a two dimensional sonata form neatly coincide. In reality, such a situation is unlikely. . . . A movement may coincide seamlessly with a section of the sonata form, but it may also coincide with only part of a section, or overlap with parts of several consecutive sections. Often . . . even entire movements stand between two different sections of the sonata form, thus fulfilling a function in only one of both dimensions.[156]

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[154]Schnittke, "Alfred Schnittke im Gespräch mit Julia Makejewa und Gennadi Zypin ´Etwas ausserhalb meiner selbst wird durch mich hörber´," in *Alfred Schnittke zum 60. Geburtstag*, 22.

[155]Schnittke, *Alfred Schnittke zum 60. Geburtstag*, 102-3. Author's own translation. [Die Idee des Zusammenwirkens verschiedener Zeiten in einem Werk ist heute nicht nur Mode – sie ist brennend aktuell. Und für mich war es auch eine viele Male scheinbar gelöste und dennoch bis jetzt ungelöste Aufgabe: den summierenden Sinn der heutigen Epoche deutlich zu erkennen.]

[156]Steven Vande Moortele, "Beyond Sonata Deformation: Liszt's Symphonic Poem *Tasso* and the Concept of Two-Dimensional Sonata Form," *Current Musicology*, 86 (Fall 2008): 49-50. Vande Moortele has written extensively about double-function forms which he renamed two-dimensional sonata forms. His book *Two-Dimensional Sonata Form: Form and Cycle in Single-Movement Instrumental Works by Liszt, Strauss, Schoenberg, and Zemlinsky* (Leuven, Belgium: Leuven University Press, 2009) is thus far the only book dedicated to the exclusive study and discussion of the form. In a later composition, *Concerto Grosso No. 3* (1985), Schnittke applied a modified or "inverted" version of two-dimensional sonata form.

The genesis of the amalgamation of sonata-allegro form and multi-movement sonata form is attributed to Liszt. The earliest and most well-known piece utilizing such a template is Liszt's *Piano Sonata in B minor* (1853). In his book *The Sonata since Beethoven: the Third and Final Volume of a History of the Sonata Idea*, William S. Newman identified said formal organization to be behind Liszt's sonata and coined the term *double-function form* in reference to it.[157] Recent scholarship takes a more circumspect viewpoint and puts the emphasis on the structural design's seminal value rather than Liszt's adaptation of it. Vande Moortele finds the term "double-function form"

Henceforth, we will use the term *sonata-allegro form* to refer to what Vande Moortele identified as "a sonata cycle." *Sonata-allegro form* comprises an exposition, a development, and a recapitulation section with optional introductory and coda sections. In the Classical period (circa 1750-1820), it is often adopted as the template for the first movement of a sonata. The term *sonata form* would be reserved for a multi-movement structure. For the sake of clarity, where possible we shall refer to this large-scale musical schema as *multi-movement sonata form*.

[157]William S. Newman, *The Sonata since Beethoven: the Third and Final Volume of a History of the Sonata Idea* (Chapel Hill: University of North Carolina Press, 1969), 134-5; 373-8. Since then, the term *double-function form* has been misappropriated and applied loosely to structures with any two interlaced forms. For example, the first movement of Webern's String Quartet Op. 28 and his Variations for Orchestra Op. 30 have both been labeled as possessing a double-function form despite the composer's description of the former as an amalgam of variation form and ternary form, and the latter an amalgam of variation form and adagio form (See Arnold Whittall, *Music Composition in the Twentieth Century* [New York: Oxford University Press, 1999], 218. The analysis of String Quartet Op. 28 that Webern included in his 1939 letter to Austrian conductor Erwin Stein is documented in Hans Moldenhauer and Rosaleen Moldenhauer, *Anton von Webern: A Chronicle of His Life and Work* [New York: Knopf, 1978], 752-6. Webern's description of his Variations for Orchestra Op. 30 can be found in Anton Webern, *The Path to the New Music*, trans. Leo Black, ed. Willi Reich [Pennsylvania: Theodore Presser Company, 1960], 60-2. Based on the composer's analyses, Kathryn Bailey compared the formal structures of String Quartet Op. 28 and Variations for Orchestra Op. 30 in *The Twelve-Note Music of Anton Webern: Old Forms in a New Language* [Cambridge: Cambridge University Press, 1991], 215-36.).

The term has further been associated with Liszt's *De Profundis S.121a* (1834-5), Totentanz: Paraphrase on Dies Irae S.126 (1849, revised 1853 and 1859), a revision of Piano Concerto No. 1 in E-flat major S.124 (1849), the first version of Piano Concerto No. 2 in A major S.125 (circa 1839-40), Piano Concerto No. 3 in E-flat major Op. posth. S.125a (1847), the Faust Symphony S.108 (1857), the Dante Symphony S.109 (1857), and six other compositions for piano and orchestra (See Jay Rosenblatt, "Piano and Orchestra Works," in *The Liszt Companion*, ed. Ben Arnold [Westport, CT: Greenwood Press, 2002], 320.). If true, such claim places the inception of the innovative design at a much earlier date and establishes a much wider application by Liszt himself. However, several of the aforementioned works contain multiple movements and should not qualify as sharing the same formal template as Liszt's one-movement piano sonata. Added to this is the fact that Liszt was known to champion invention and feeling over formula. As one who abhorred formalistic principles both as a performer and composer, it is suspect that so many of Liszt's major compositions would fall under the same structural rubric (See David Tippett, "*Après une Lecture de Liszt*: Virtuosity and *Werktreue* in the 'Dante' Sonata," *19th-Century Music* 32/1 [2008]: 53n5, 62-3.).

to be suggestive of each constituent unit of the double-function form partaking simultaneously in the composition of the multi-movement sonata form and the sonata-allegro form. As such, the term describes a theoretical ideal but departs from actual manifestations of the structure. Thus, Vande Moortele dispensed with Newman's term and renamed the structure *two-dimensional sonata form.*

By further imposing the two-dimensional sonata form (an overlay of sonata-allegro form and multi-movement sonata form) over variation form and by implementing the same thematic material in all three forms, Schnittke not only effects the independent and simultaneous unfolding of three structural plots but also attains continuity throughout the concerto.

As we shall see in the analytical discussion below, Schnittke chooses two ordered pitch-class sets 6-Z40<0B2147> and 6-8<143658> as thematic material and expresses these hexachordal sets as the principal and secondary themes respectively. The development of the two themes under each of the three structural templates is, however, autonomous and isolated from concurrent events in the other contexts to ensure a true egalitarian and dialogical integration.

Figure 4-1 shows the opening eight measures of the concerto where the concatenation of the roots of six triadic post-tonal harmonies constitutes the principal theme. Figure 4-2 shows the first appearance of the second theme at rehearsal 7.[158]

[158]Both Richard Cohn and Joseph N. Straus have discussed the presence of triadic harmonies in post-tonal music. See Richard Cohn, "Introduction to Neo-Riemannian Theory: a Survey and a Historical Perspective," *Journal of Music Theory* 42/2 (1997): 168 and Joseph N. Straus, *Introduction to Post-Tonal Theory*, 3rd edition (New Jersey: Pearson Prentice Hall, 2005), 158. Cohn introduced the term *triadic post-tonal harmonies* to refer to triadic music that is "tonally disunified." The terms *chromatic tonality* and *triadic atonality* are rejected because the mere presence or absence of consonance and dissonance is insufficient as deciding factors for tonality or atonality. Straus describes such harmonies as being free of the constraints of traditional tonality and they do not relate to each other functionally as tonics, predominants, and dominants. That is, they exert no drawing force towards any tonal center. Henceforth,

Figure 4-1. Principal theme expressed as pitch-class set 6-Z40<0B2147> (Concerto for Piano and String Orchestra © With kind permission Musikverlag Hans Sikorski, Hamburg)

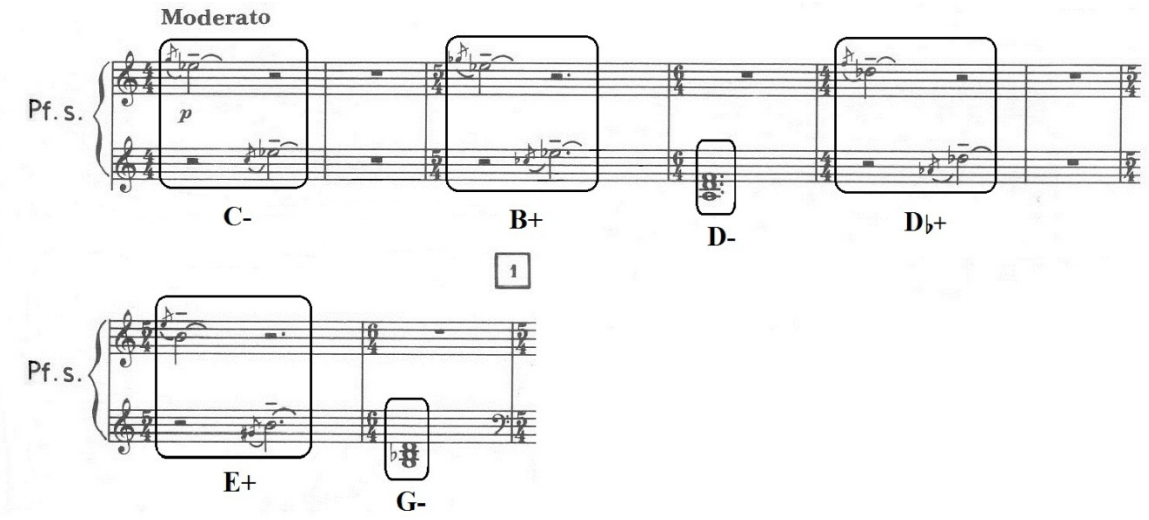
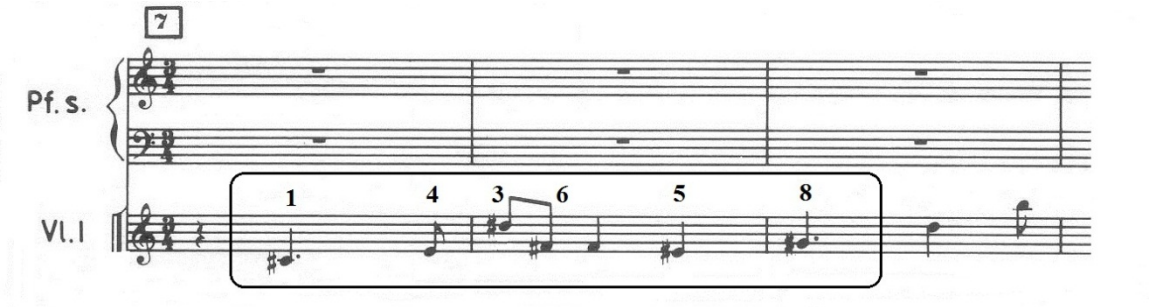


Figure 4-2. Secondary theme expressed as pitch-class set 6-8<143658> (Concerto for Piano and String Orchestra © With kind permission Musikverlag Hans Sikorski, Hamburg)



The secondary theme 6-8<143658> relates to the principal theme primarily through its intervallic structure. As shown in Figure 4-3, the unordered pitch-class intervals of both themes belong to either interval-class 1 or interval-class 3. Further, the

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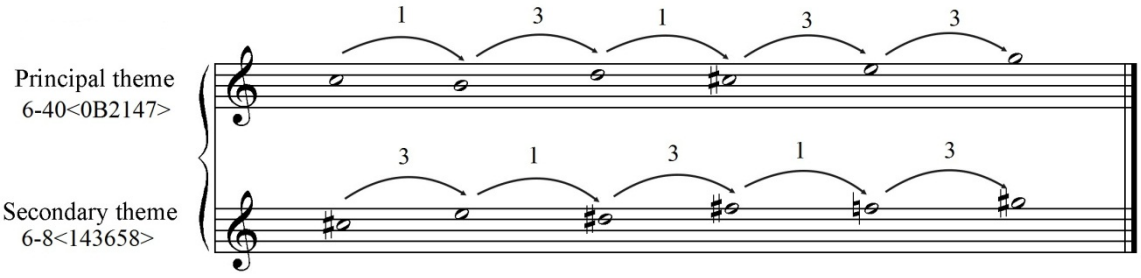
we shall adopt Cohn's term, *triadic post-tonal harmonies*, in the description of triadic harmonies in Schnittke's music.

first five notes of each theme are inversionally equivalent sets with an inversional index of 5. That is, {0B214} = T_5I {14365} and {14365} = T_5I {0B214}.[159]

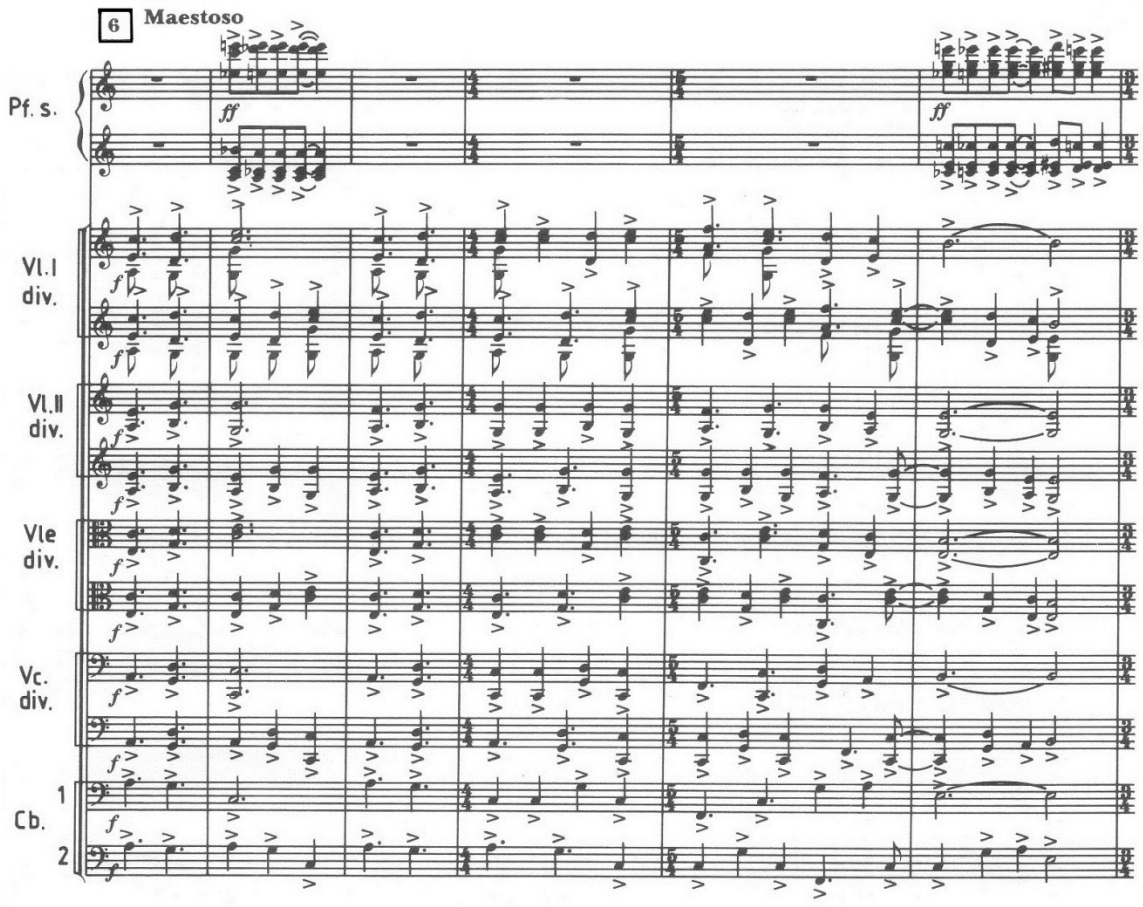
Figure 4-3. Unordered pitch-class intervals of the two themes



Under the template of sonata-allegro form, the two themes together with a six-measure segment of Orthodox Church music that represents the transition section (Figure 4-4), play out the stability-conflict-reconciliation schema in the three respective sections: exposition, development, and recapitulation.

[159]The present analysis chooses to describe the audible similarity of the themes rather than to calibrate the relatedness with one of the many competing similarity indices for the reason that heretofore, none of the existing measures has garnered enough recognition to establish itself as a universal measure of similarity relations. Furthermore, the quantitative models, with their partiality toward mathematics or "mathematical fetishism" (as dubbed by Ian Quinn), lack conceptual immediacy and alienate rather than enrich one's musical experience. Quinn brings to attention two methodological problems: "first, that the phenomenon being modeled—'similarity'—is neither necessarily nor even compellingly suited to a mathematical model; and second, that there is nonetheless a tendency to focus specifically on the arithmetic workings of these models rather than on their results" (Ian Quinn, "Listening to Similarity Relations," *Perspectives of New Music* 39/2 [2001]: 142). In view of the lack of an objective basis upon which the various similarity indices can be assessed, Quinn proposes the *Natural Kinds of Hypothesis*, which appeals to the qualitative intuitions of music scholars and non-music scholars alike (Ibid., 109, 143). Implied in Quinn's proposal is the criterion for similarity indices to possess a high degree of aural similitude and music relevance. Quinn goes on to note that as different and divergent as the indices might seem, interval content and subset-class structure emerge regularly in various forms and guises as parameters in the formulation of similarity measures (Ibid., 153). For example, Allen Forte's R_0-, R_1-, R_2-, and R_p- measures, Charles Lord's *similarity function* (*sf*), Eric Regener's common-note function, David Lewin's interval function, and John Rahn's $MEM_n(X,A,B)$ are all models developed upon the concepts of interval and subset contents. (Michiel Schuijer, *Analyzing Atonal Music: Pitch-Class Set Theory And Its Contexts* [Rochester: University of Rochester Press, 2008], 160-5). That is, at the inception of these similarity indices, intervallic structures and common subsets embedded in two pitch-class sets are believed to reflect listeners' sense of pitch-class relatedness.

Figure 4-4. Orthodox Church music segment functioning as transition (Concerto for Piano and String Orchestra © With kind permission Musikverlag Hans Sikorski, Hamburg)



In terms of the multi-movement sonata form, the principal and secondary themes recur from movement to movement, which renders the form *cyclic*. Table 4-1 shows the piano concerto in sonata-allegro form, and Table 4-2 shows the structure of the concerto expressed in terms of two-dimensional sonata form.[160]

[160]See footnote 156 for definitions of two-dimensional form, sonata-allegro form, and multi-movement sonata form.

Table 4-1. *Concerto for Piano and Strings* shown in terms of sonata-allegro form: P = principal theme 6-Z40<0B2147>; T = Transition using Orthodox Church music; S = Secondary theme 6-8<143658>; C = Closing theme; t = transitional passage; rt = retransitional passage

Measure/ Rehearsal Number	mm.1-8	1-2	3-5	6	7-10	11	12	13-16	17-18	19-22	23-30	31-35	36	37-38	39	40-45
	P	t	P	T	S	C	t	P	False recap	P	S[161]	rt	P/S	T	S	
Sonata-Allegro Form	Introduction		Exposition					Development				Recapitulation				Coda

[161]At rehearsal a, Schnittke expresses the hexachordal pitch-class set of the second theme 6-8<143658> in the piano part in such a manner that the texture and contour of the material resemble those of the principal theme in the opening eight measures of the concerto (mm 1-8). Schnittke thus introduces the elements of ambiguity and openness in the interpretation of the text.

Table 4-2. Two-dimensional sonata form as realized by Schnittke's *Concerto for Piano and Strings*

Measure/Rehearsal Number	mm.1-8	1-2	3-12	13-22	23-30	31-35	36-39	40-45
Tempo Marking	Moderato		Andante-Maestoso-Tempo I	Allegro	Tempo di Valse	Cadenza-Moderato	(Moderato)-Maestoso-Moderato	Tempo I
Sonata-Allegro Form	Introduction		Exposition	Development		Recapitulation		Coda
Multi-Movement Sonata Form	First Movement			Scherzo	Minuet/Trio	Finale		

In addition to understanding the structure of the piano concerto as a two-dimensional sonata form, the formal schema of the concerto can also be interpreted as belonging to variation form.

Ivashkin wrote that "the original subtitle of the work was 'Variations not on the theme.' By this Schnittke meant that each variation is based on a certain element of the theme."[162] It is certainly true that the melodic component of a theme can stay intact throughout the entire piece as different elements of the theme like harmony, texture, contour, form, and character undergo alterations in the variations. But this type of constant-melody variations is well known, leading one to surmise that there may be a slip in the translation of "Variations not on a [single] theme." If such is the case, the subtitle would reflect the fact that the piano concerto is in the mixed form of character variations and alternating variations on double themes.[163] Table 4-3 shows the concerto in a hybrid mixed form of alternating variations and character variations with interposed episodes.

[162] Alexander Ivashkin, Notes to Alfred Schnittke, Concerto for Piano and Strings*; Requiem* (Chandos, CHA9564, 1997).

[163] The term *character variations*, introduced by Adolf Bernhard Marx, refers to variations that assume the form of dances, individual or nationalistic styles, programmatic or *character pieces* that are associated with a certain mood or moment (See Elaine Rochelle Sisman, *Haydn and the Classical Variation* (Cambridge: Harvard University Press, 1993), 67.) *Alternating variations*, whose development was largely associated with Haydn, refers to a type of variation form that employs two themes, usually one in the major mode and the other in the minor. The structure comprises alternating variations on the themes. Usually the total number of variations is small, resulting in rondo forms like ABABA.

Table 4-3. *Concerto for Piano and Strings* in Hybrid Mixed Variation Form: P = principal theme 6-Z40<0B2147>; S = Secondary theme 6-8<143658>. Episodes and intervening material are not indicated in the following table

Measure/ Rehearsal Number	mm. 1-8	3-5	7	8-10	13-21	22-28	29	30-32	39	40-42	42-45
Themes and Variations	P	P^1	S	S^1	P^2	S^2	P^1	P^3/S^3	P^1	S	P
Description	Exposition of principal theme	Variations of figuration, transposition, accompaniment, etc.	Exposition of secondary theme	Formal variations similar to those in rehearsals 3-5. With P^1 repeated.	Character variations: in the styles of Prokofiev and Blues	Character Variations: in Minuet form	Repeat of Variations in rehearsals 3-5	Character Variations in the style of fugal writing and improvisation	Repeat of Variations in rehearsals 3-5		

As in the composition of two-dimensional sonata form where the multi-movement sonata form joins the sonata-allegro form at the same hierarchical level, so is the manner in which the two-dimensional sonata form combines with the variation form in Schnittke's piano concerto. The final three-dimensional amalgamated form is one where all three constituent forms (sonata-allegro form, multi-movement sonata form, and variation form) are complete and overlay the entire composition. The lack of hierarchies in the overall structure denies priority for any one organizational scheme and begets a context of Bakhtinian plurality. Table 4-4 gives a structural overview of the piano concerto.

Table 4-4. Structural overview of Concerto for Piano and Strings

Measure/Rehearsal Number	mm.1-8	1-2	3-5	6	7	8-10	11-12	13-21	22	23-28	29	30	31-32	33-35	36-38	39	40-42	42-43	44-45
Tempo Marking	Moderato		Andante-Maestoso-Tempo I					Allegro		Tempo di Valse			Cadenza-Moderato		(Moderato) -Maestoso-Moderato		Tempo I		
Sonata-Allegro Form	Introduction		Exposition					Development					Recapitulation				Coda		
Sonata Form	First Movement							Scherzo		Minuet/Trio			Finale						
Hybrid Variation Form	P		P^1		S	S^1		P^2	S^2		P^1	P^3/S^3			P^1	S	P	

4.2.2 Textual Analysis

4.2.2.1 Introduction (mm. 1-8; Rehearsals 1 - 2) [164]

The concerto begins with the solo piano's introduction of the principal theme: pitch-class set 6-Z40<0B2147>, which is exposed as the roots of the series of triadic post-tonal harmonies (see Figure 4-1). The opening triads, expressed as melodic thirds and fourths decorated with *appoggiaturas*, form a falling-and-rising motif that permeates the concerto. Any sense of harmonic familiarity quickly fades as the piano moves into a transitory passage halfway through rehearsal 1 that bespeaks the pluralistic character of the piece. Figure 4-5 shows the original score of rehearsals 1 and 2 and Figure 4-6 shows a pitch-class representation of the same passage.[165]

[164] Hereinafter the analysis follows the layout of the sonata-allegro form with pertinent information offered by the multi-movement sonata form and variation form as appropriate and germane.

[165] In Figure 4-6, I made use of octave equivalence in the score reduction to achieve a clearer presentation. For reasons that will become clear in our discussion of pluralistic perspectives in the next section, Schnittke's original partition of the harmonies between the staves as well as repetitions of harmonies between the staves are preserved.

Figure 4-5. Concerto for Piano and Strings, rehearsals 1 and 2 (Concerto for Piano and String Orchestra © With kind permission Musikverlag Hans Sikorski, Hamburg)

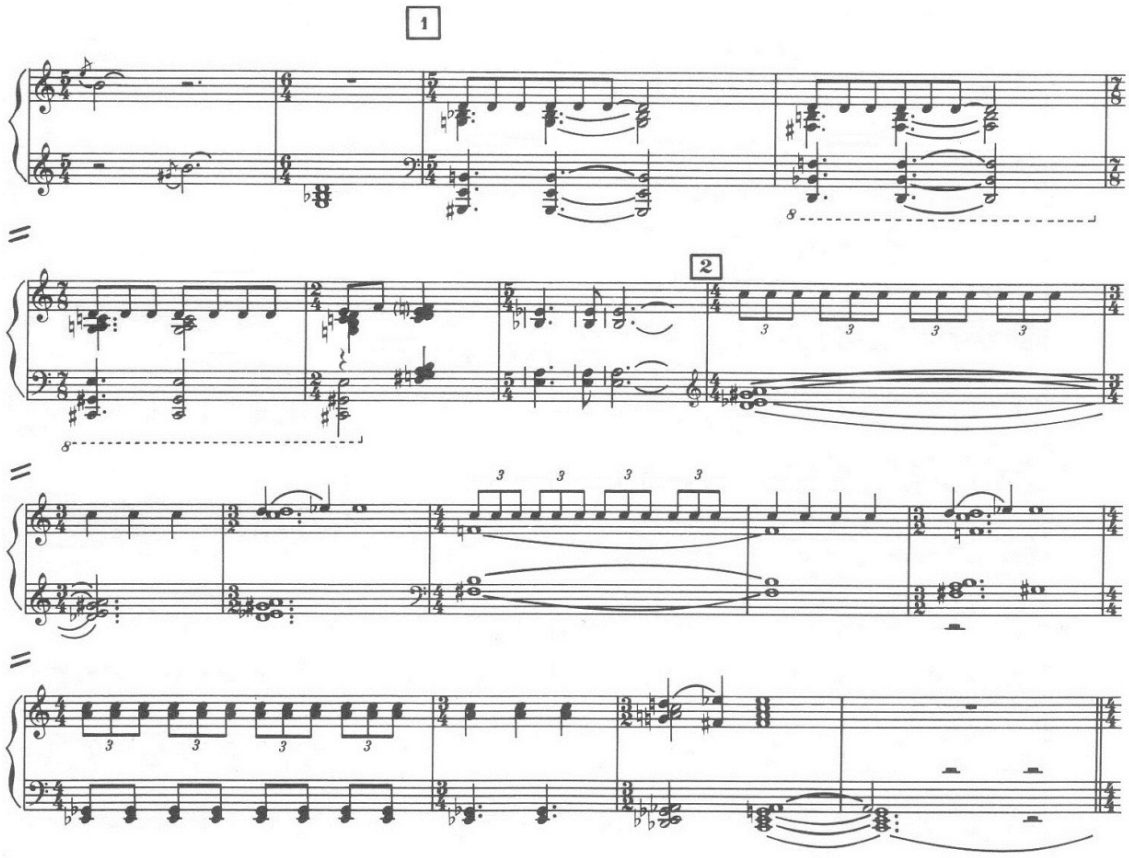
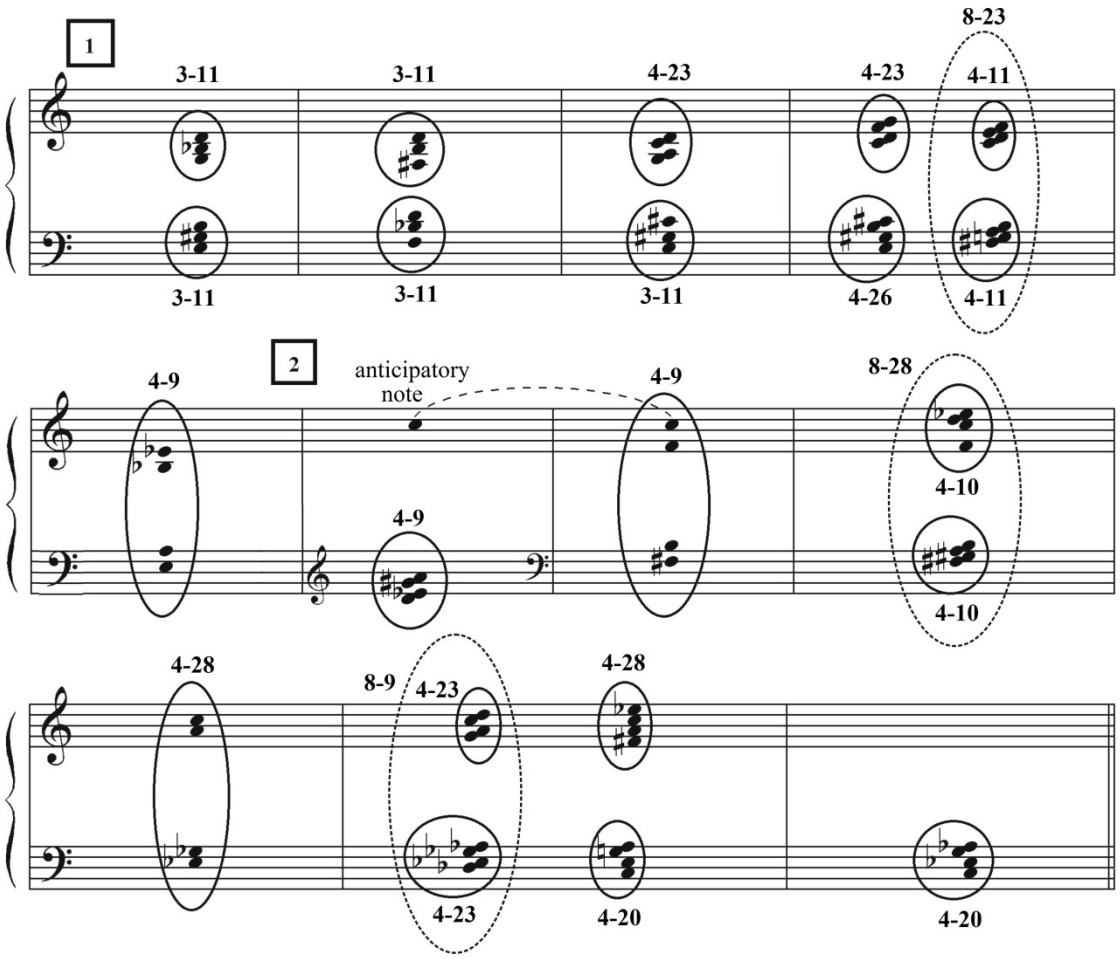


Figure 4-6. Pitch-class representation of rehearsals 1 to 2



As Figure 4-6 shows, in this passage Schnittke utilizes a very limited pool of set-class material. The minor-minor-seventh chord represented by pitch-class set 4-26{B148} and the major-major-seventh chord represented by pitch-class set 4-20{0378} delimit the section where pluralism first emerges and develops. The main components of the passage are three set-classes: namely 4-9, 4-23, and 4-28. Various combinations of these set-classes generate their complements: three octachords (in order of appearance): 8-23{B0245679}, 8-28{B0235689}, and 8-9{01236789}. Table 4-5 shows different interpretations of the octachords through alternative partitions. The second column

indicates the octachords' original partitions as they appear in the music and the third column provides alternative partitions of the octachords in terms of the aforementioned principal tetrachords. The polysemous character of the chosen octachords affords multiple interpretations and exudes pluralism.

Table 4-5. Different interpretations of the octachords in rehearsals 1 – 2

Octachords	Partitions as appeared in the music	Alternative partitions using 4-9, 4-23, and 4-28
8-23{B0245679}	4-11{0245} + 4-11{679B}	4-23{0257}+4-23{469B} 4-23{2479}+4-9{B056}
8-28{B0235689}	4-10{0235} + 4-10{689B}	4-9{2389} + 4-9{B056} 4-28{0369} + 4-28{258B}
8-9{01236789}	4-23{0279} + 4-23{1368}	4-9{2389}+4-9{0167} 4-28{0369}+4-9{1278}

Figure 4-7 represents a spatial representation of the passage in question. It integrates Table 4-5 with Figure 4-6 and shows the unfolding of the passage with the three polysemous octachords brought to the fore. Shown in the rectangular boxes are the three octachords whose original partition is shown as pitch-class sets with solid boundaries. Each original partition is flanked by two alternative partitions of the octachord distinguished by their dotted boundaries. While the alternative partitions, as a result of their higher rate of recurrence, play a significant role in the listener's perception of the passage and give meaning to the latent developmental process of the music, Schnittke's original notation of the octachords represents an interpretation that is obscured in performance and is only revealed textually through the score. I will suggest a reason for the alternative partitionings in the discussion that accompanies Figure 4-8.

Figure 4-7. A spatial representation of the section from rehearsals [1] - [2] showing multiple interpretations of the octachords

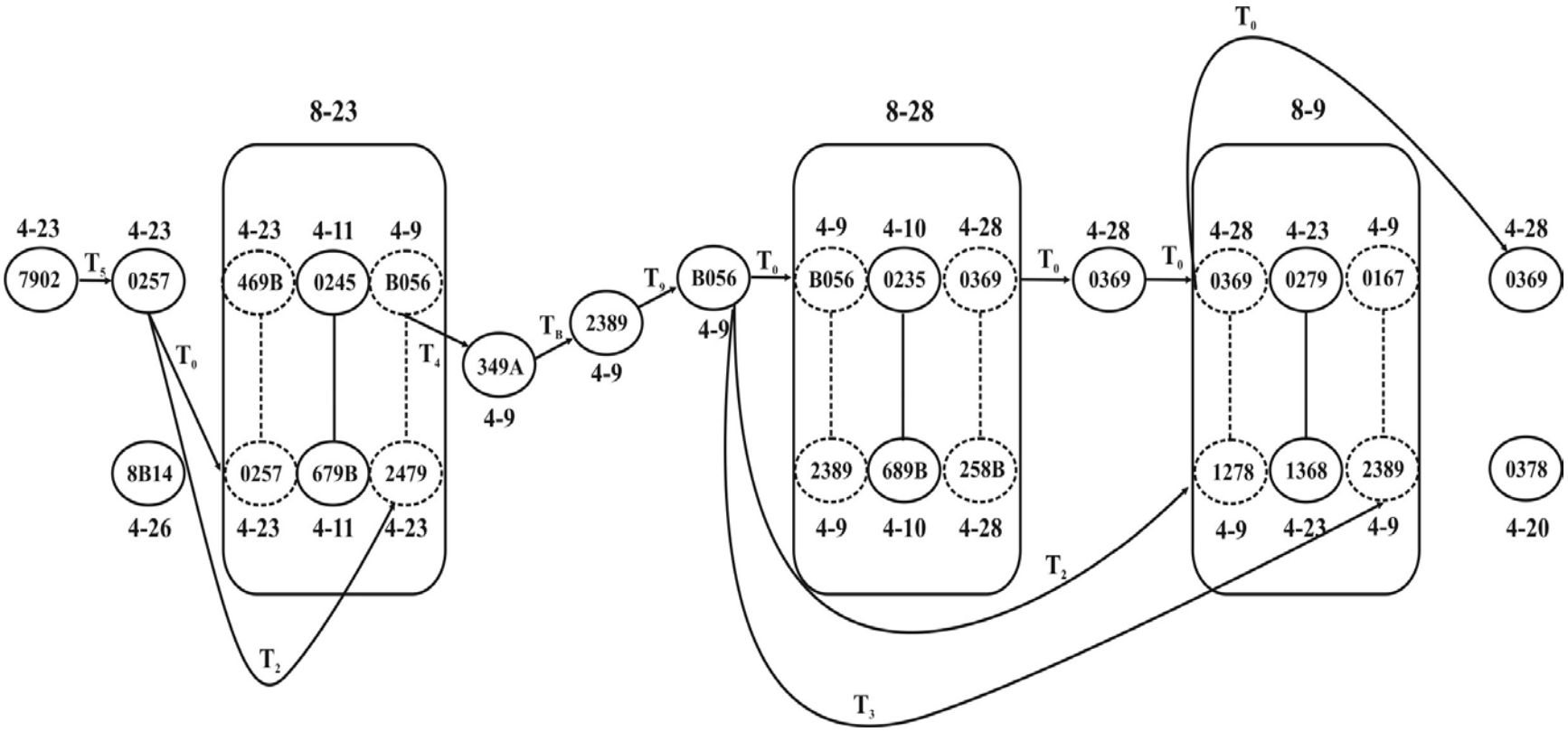
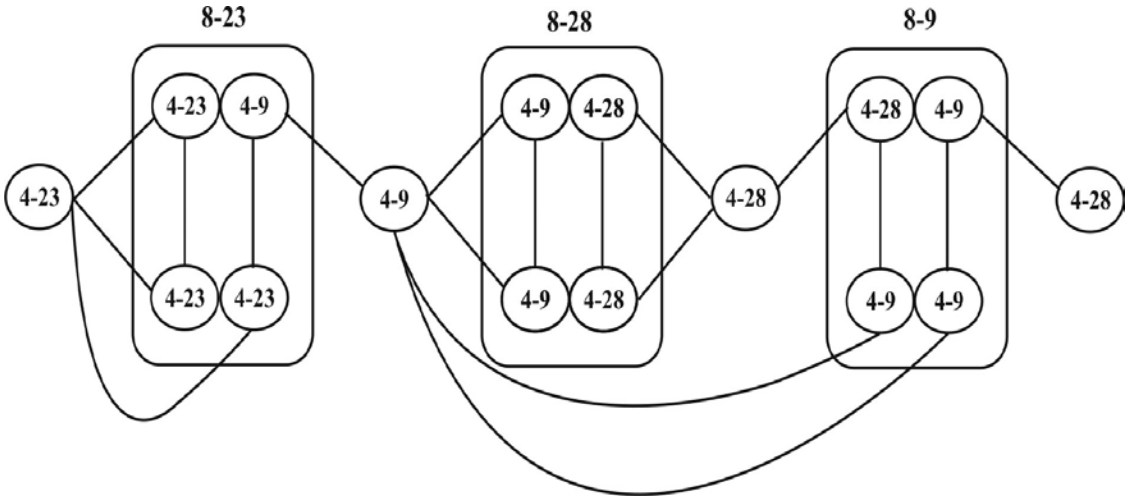


Figure 4-8 illustrates the same passage at a higher level of abstraction. Here, each of the octachords can be interpreted as either arising from set-classes that precede it or as an anticipation of set-classes to follow.

Figure 4-8. An abstract set-class representation of rehearsals 1 - 2 revealing hidden connections between the octachords

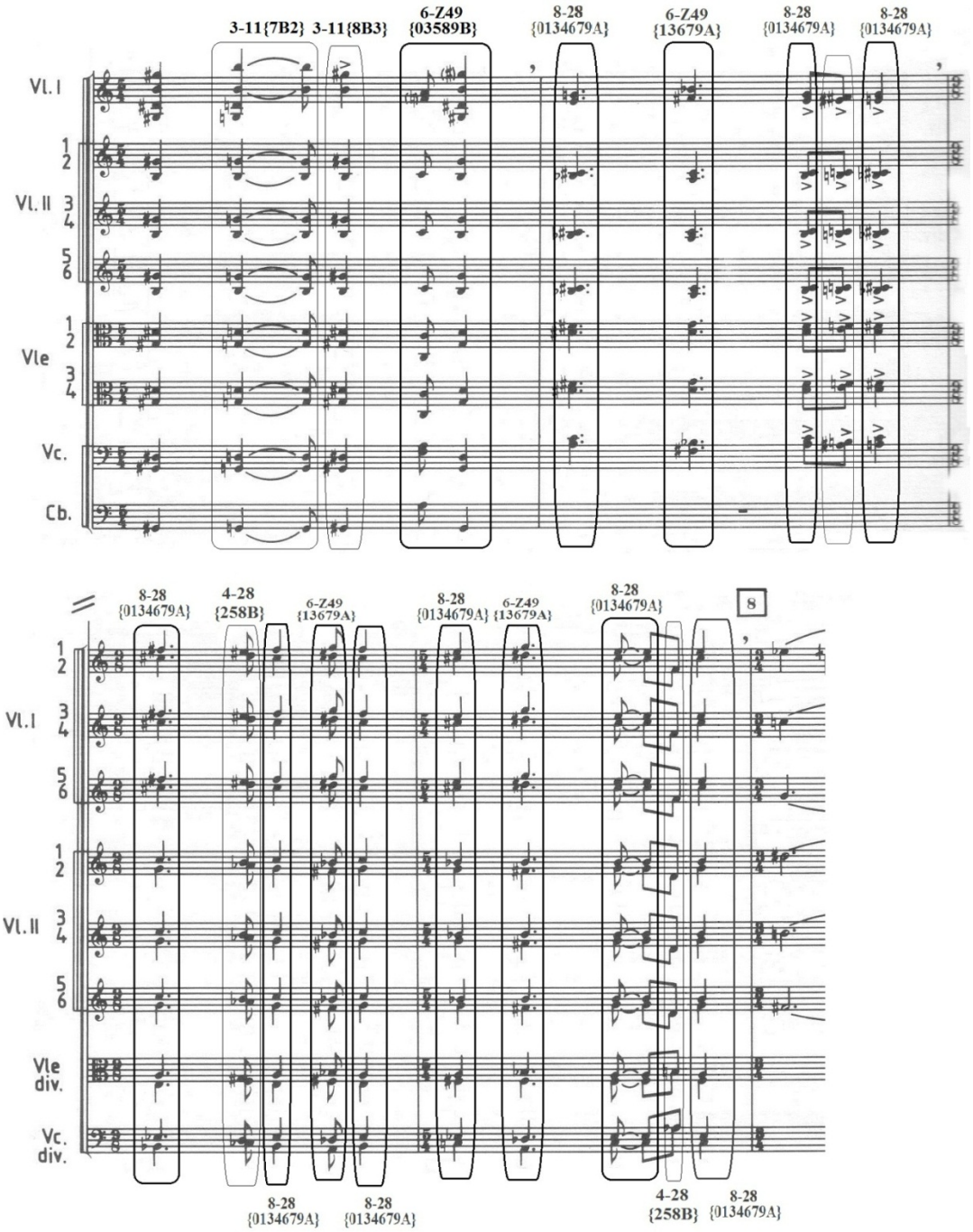


4.2.2.2 Exposition (Rehearsals 3 - 12)

Following the exposition of the first theme group from rehearsals 3 to 5, the second theme group enters at rehearsal 7 and brings in a short passage which is, for the most part, made up of set classes 6-Z49 and 8-28, both of which are open to multiple structural partitions and readings (Figure 4-9). Set class 6-Z49 can be interpreted as the combination of two instances of set-class 3-11 or two instances of set-class 3-10. For example, 6-Z49{A13679} can result from combining 3-11{37A} and 3-11{691} or from putting together 3-10{369} and 3-10{7A1}. Likewise, set-class 8-28 can be interpreted as the combination of two instances of tetrachord 4-9 or two instances of tetrachord 4-28. The octachord 8-28 that appears in the second theme group {0134679A} can be broken

down into 4-9{0167} and 4-9{349A} or partitioned into the diminished-seventh chords 4-28{0369} and 4-28{147A}.

Figure 4-9. Excerpt from rehearsal 7 comprised essentially of 6-Z49 and 8-28 harmonies (Concerto for Piano and String Orchestra © With kind permission Musikverlag Hans Sikorski, Hamburg)

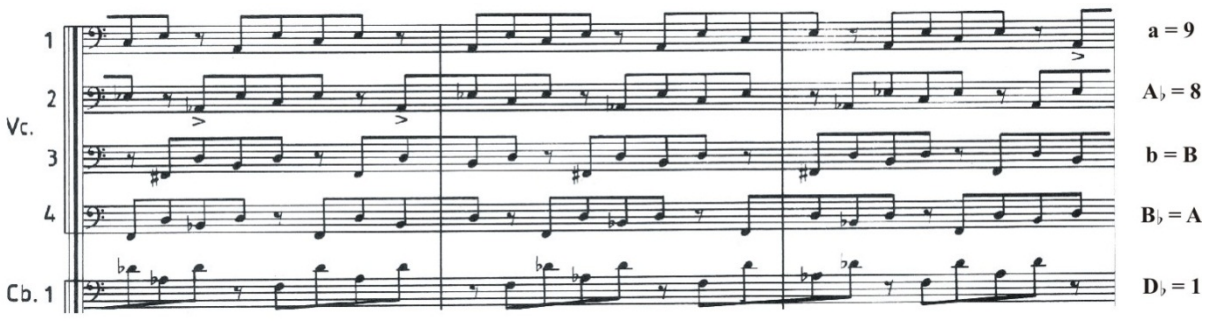


4.2.2.3 Development (Rehearsals 13 - 30)

Unlike in the introduction and exposition sections where pluralism is introduced through the use of polysemous music composites built from a small pool of set-classes, here in the development section Schnittke strengthens the sense of textual pluralism by employing new set-class materials that are not generated directly from the two established themes, yet whose resemblance to both themes is so striking that suggestion of the themes is unavoidable. The following two examples illustrate the compositional technique here described.

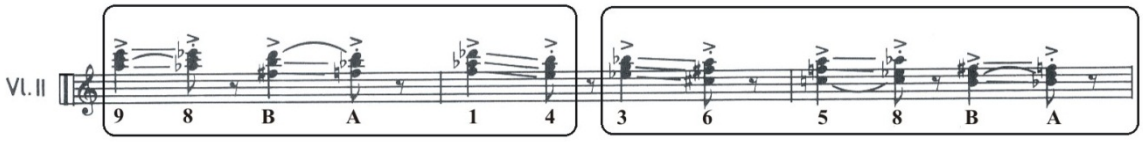
First, beginning at rehearsal 13, the lower strings of the ensemble provide a harmonic backdrop that expresses pitch-class set <98BA1> as the roots of five triadic post-tonal harmonic figurations distributed among five parts (See Figure 4-10). The pentachord is a subset to both the principal theme 6-Z40<0B2147> at T_9, 6-Z40<98BA14>, and the secondary theme 6-8<143658> at T_5, 6-8<698BA1>. Its presence can therefore be interpreted as a reminder of the principal theme, the secondary theme, or both, attesting to the indeterminate nature of postmodern narratives.

Figure 4-10. Excerpt from rehearsal 13 showing the harmonic backdrop that expresses pitch-class set <98BA1> (Concerto for Piano and String Orchestra © With kind permission Musikverlag Hans Sikorski, Hamburg)



Second, four measures after rehearsal 13 in the second violin part, the principal theme (6-Z40<98BA14>) enters, in the form of roots abstracted from a series of triadic post-tonal harmonies connected by *portamenti* (Figure 4-11). It is followed immediately by a new theme for this developmental section, 6-Z25<3658BA>.

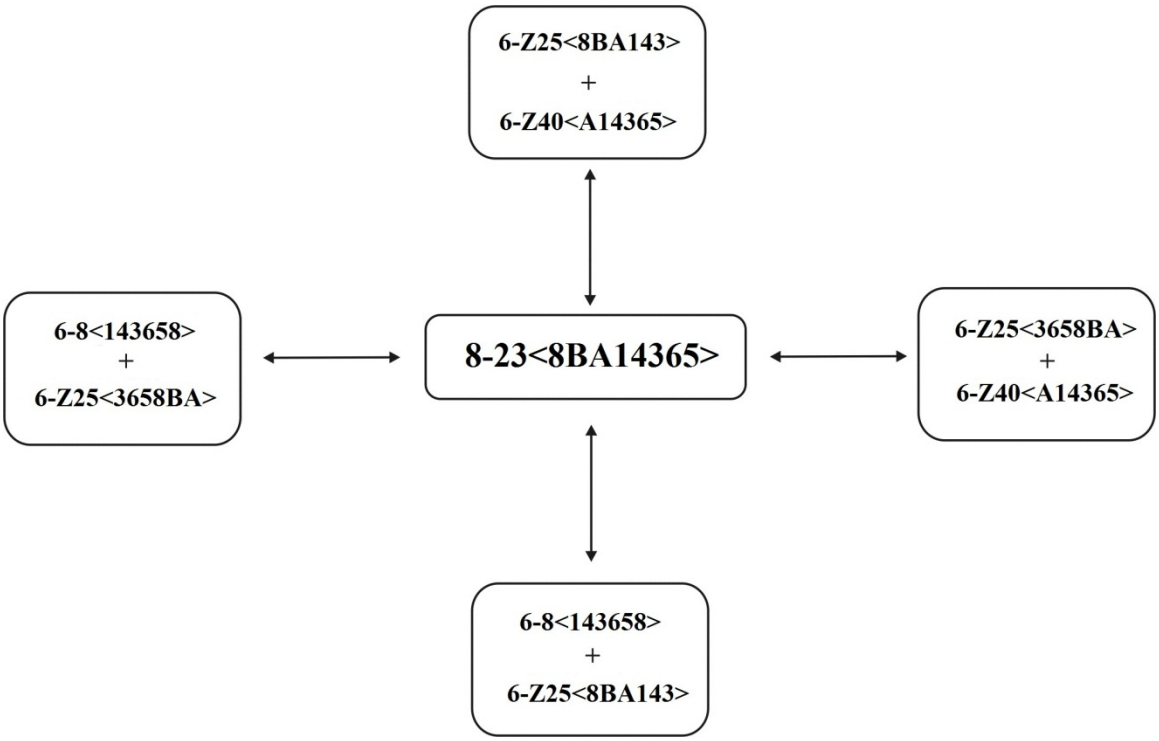
Figure 4-11. Excerpt from rehearsal 13 showing the principal theme and the entrance of the new theme 6-Z25<3658BA> (Concerto for Piano and String Orchestra © With kind permission Musikverlag Hans Sikorski, Hamburg)



The unordered pitch-class intervals of the new theme, 6-Z25<3658BA>, are dominated by interval-classes 1 and 3, a feature shared by both the principal and secondary themes, thus connecting the new theme of the section to both established themes (see Figure 4-3).

The interrelationship between the three themes, which expresses sets 6-Z40<98BA14>, 6-8<143658>, and 6-Z25<3658BA>, is consolidated by the presence of the polysemous octachord 8-23<8BA14365> (i.e., pitch intervals 3-1-3-3-1-3-1) which, together with its transpositions and permutations, suffuses rehearsal 16 harmonically and melodically. The many constructions of 8-23<8BA14365> include combining one instance of 6-Z25<3658BA> at T_5 and one instance of 6-Z40<0B2147> at T_5I, combining one instance of 6-Z25<3658BA> and one instance of 6-Z40<A14365> at T_5I, combining one instance of 6-8<143658> and one instance of 6-Z25<3658BA> at T_5, and one instance of 6-8<143658> and one instance of 6-Z25<3658BA>. Figure 4-12 summarizes the pluralistic interpretations.

Figure 4-12. Structural breakdown of 8-23<8BA14365>



As the music enters rehearsal 23, it reaches the juncture where the beginning of an expansive cycle of fourths progression based on the secondary theme (6-8<143658>) coincides with the commencement of the third movement, the Minuet and Trio, in accord with the multi-movement sonata form template. Figure 4-13 shows the complete cycle of fourths progression which begins at rehearsal 23 and concludes at rehearsal 45. Table 4-6 provides the musical excerpts showing the different manifestations of 6-8<143658> as the cycle of fourths unfolds. The first column enumerates the different T_n/T_nI points in the cycle. The second and third columns give the rehearsal numbers and instrumental parts of where the musical excerpts can be found. And the last column shows the transformed pitch-class sets alongside their musical manifestations.

Figure 4-13. A cycle of fourths based on the pitch-class set 6-8<143658> expressing the secondary theme which begins at rehearsal 23 and finishes at rehearsal 45

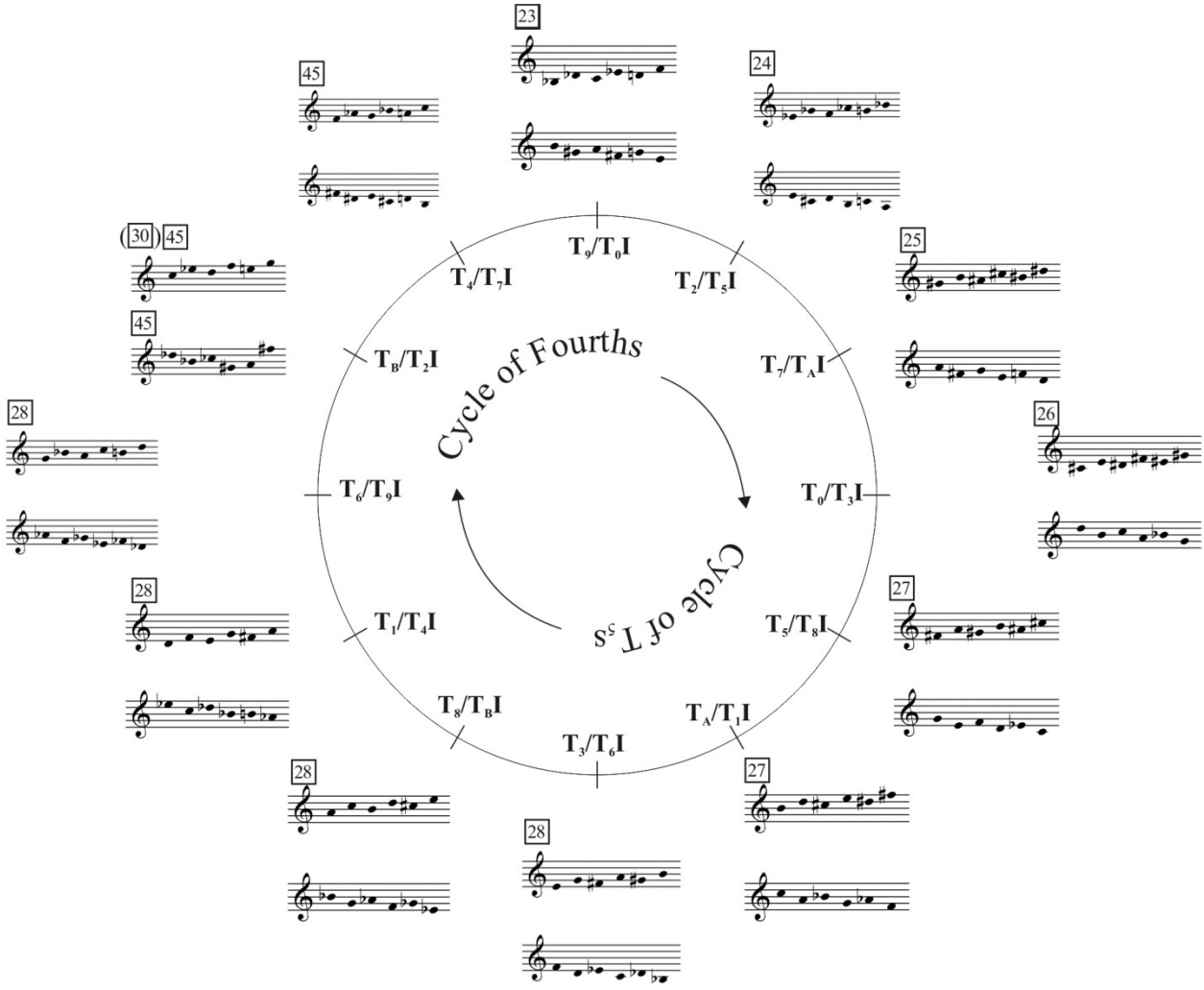
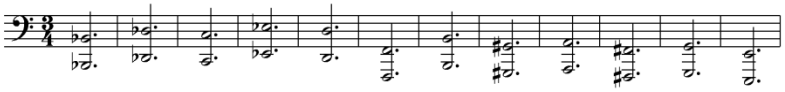
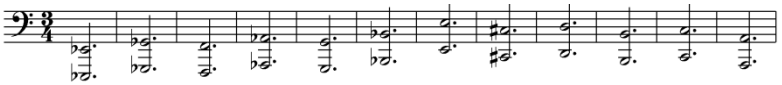
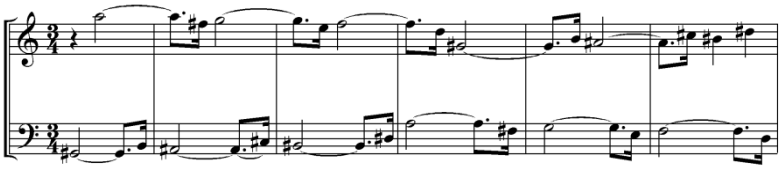
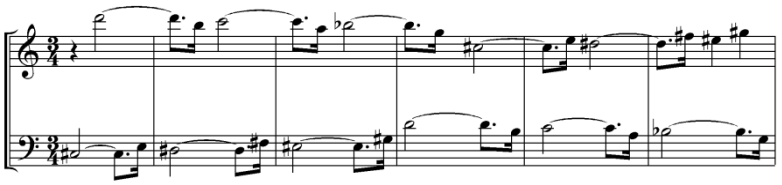
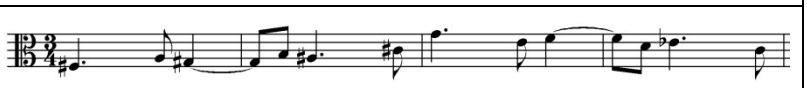
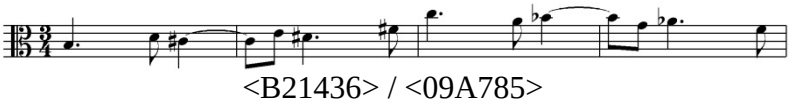
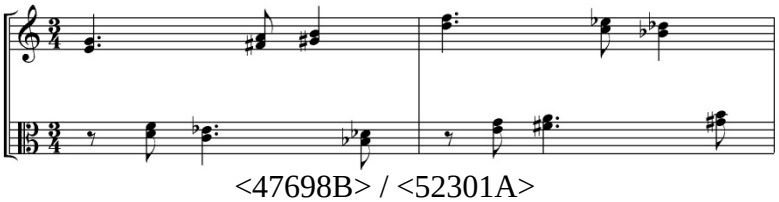
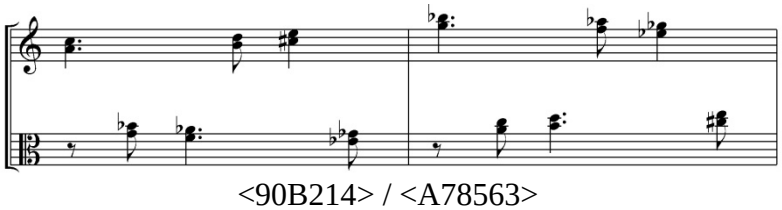
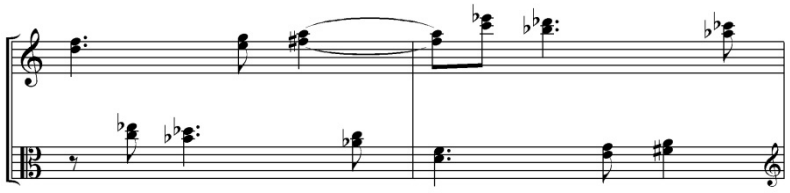
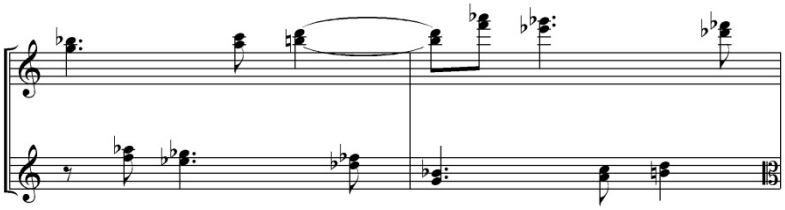
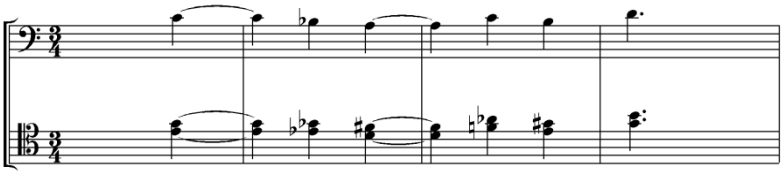
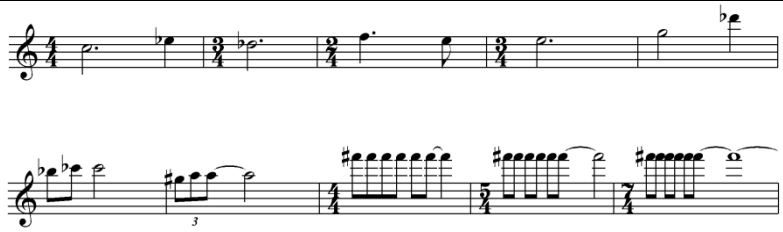
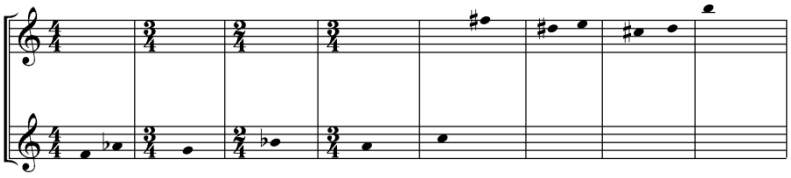


Table 4-6. Different manifestations of the secondary theme, 6-8<143658>, in the cycle of fourths (Concerto for Piano and String Orchestra © With kind permission Musikverlag Hans Sikorski, Hamburg)

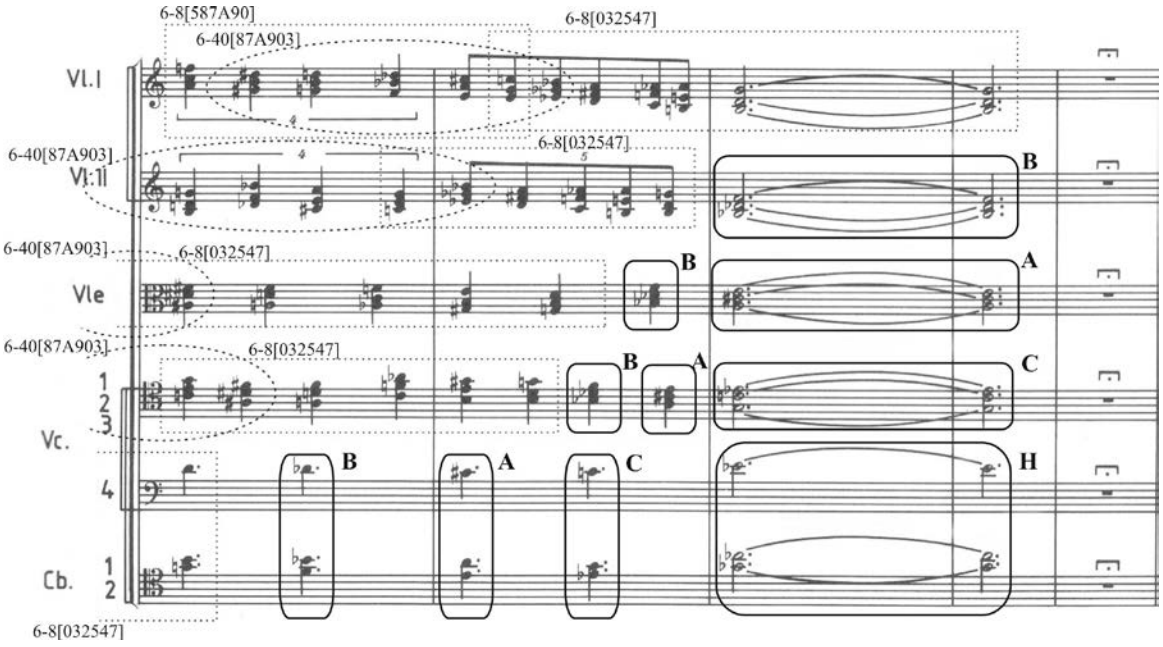
T_n/T_nI	Reh.	Instrument	Musical Excerpt
T_9/T_0I	23	Pf	 <A10325> / <B89674>
T_2/T_5I	24	Pf	 <36587A> / <412B09>
T_7/T_AI	25	Vln I, Vc, Cb	 <8BA103> / <967452>
T_0/T_3I	26	Vln I, Vc, Cb	 <143658> / <2B09A7>
T_5/T_8I	27	Vle	 <698BA1> / 745230>
T_A/T_1I	27	Vle	 <B21436> / <09A785>
T_3/T_6I	28	Vln II, Vle	 <47698B> / <52301A>
T_8/T_BI	28	Vln II, Vle	 <90B214> / <A78563>

T_1/T_4I	28	Vln II, Vle	 <254769> / <301AB8>
T_6/T_9I	28	Vln II, Vle	 <7A90B2> / <856341>
T_B	30	Vc, Cb	 <032547>
T_B/T_2I	45	Pf	 <032547> / <1AB896>
T_4/T_7I	45	VlnI, VlnII	 <587A90> / <63412B>

As shown in Figure 4-13, the cycle of fourths progression begins at rehearsal 23 with 6-8<A10325> and 6-8<B89674>. That is, T_9<143658> and T_0I<143658> respectively. Every restatement of the secondary theme and its inversion thereafter advances by a T_5 transposition. The cycle pauses after rehearsal 28 and returns partially at rehearsal 30 with 6-8<032547> (i.e., T_B <143658>) appearing as roots to a series of triadic post-tonal harmonies in the violoncellos and contrabasses. But, the anticipated T_2I

transformation, 6-8<1AB896>, does not appear. In its stead, Schnittke closes the development section with a salutation to the great Baroque master whereby the monogram B-A-C-H is appended to the end of a canonic passage (see Figure 4-14), found in the roots of the triadic post-tonal harmonies.

Figure 4-14. B-A-C-H monogram at the end of rehearsal 30 (Concerto for Piano and String Orchestra © With kind permission Musikverlag Hans Sikorski, Hamburg)



The cycle of fourths progression does not come to a full completion until the last measures of the concerto (rehearsal 45) where the solo piano brings back <0322547> (T_B <143658>), the very point in the cycle where the progression attempts to return but fails (rehearsal 30). This time, the piano continues with T_2I<143658> (6-8 <1AB896>) which appears in its retrograde form. The T_B and T_2I transformations constitute the very last melodic line of the piano concerto. They are supported by the first and second violins

playing the sonority made up of T_4 and T_7I, the two 6-8 manifestations that complete the cycle of fourths progression.

4.2.2.4 Recapitulation (Rehearsals 31 - 39)

The long cadenza (rehearsals 31 – 35) brings back rhythmic patterns from the introductory section, including the opening motif with the *appoggiaturas*, the series of eighth notes that ends with a sustained tied-note from rehearsal 1 (), and the accentuated triplets from rehearsal 2. Although the cadenza utilizes rhythmic motifs from the introductory and exposition section, the absence of a distinct return of the principal or secondary themes at the end of the cadenza leaves the boundary between the development and recapitulation sections equivocal.

The recapitulation proper that begins at rehearsal 36 exudes comparable ambiguity and openness for interpretation. With the use of tetrachords 4-28 and 4-9, the solo piano succinctly brings back the pluralistic passage in rehearsal 2. Then, the triadic post-tonal harmonies in the upper strings employ a device first introduced in the development section (rehearsal 13) whereby a pentachord that can be interpreted both as a reference to the principal and secondary theme is used. The pentachord at play in rehearsal 36 is <0B214>. Being at the same time a subset of the principal theme 6-Z40<0B2147> and the secondary theme at T_8, 6-8<90B214>, it suggests the return of both themes without recapitulating either of them in their entirety. On the whole, the recapitulation section embodies the engagement between thematic materials from the two themes and the combined force of chromaticism, tetrachords 4-9 and 4-28, and tritones. It culminates in what Schnittke described as a failed attempt at balancing the two forces

when the thematic material dissolves into chromatic, tritonic, and diminished sonorities.[166]

4.2.2.5 Coda (Rehearsals 40 - 45)

The coda portrays a serenity (marked *pianisisimo*) wherein certainty is well-balanced against uncertainty. Pitch materials from the secondary and principal themes return in their original form, 6-8<143658> and 6-Z40<0B2147> respectively, at rehearsals 42 and 43. Uncertainty, represented by chromatic and tritonic sonorities, rears its head temporarily at rehearsal 44. However, transformations of the secondary theme at rehearsal 45 quickly subdue such disruptive surges and restore form and order by bringing closure to the suspended cycle of fourths from the development section.

4.3 Summary Observations

This discussion expounds the structural and syntactic intricacies Schnittke employed in creating a multi-dimensional musical narrative open to diverse perspectives and interpretations. Different perspectives and interpretations are made not only possible, but equally plausible, reflecting the inherent equivocality and indeterminacy of his times.

In terms of the three basic elements of art—form, context, and content—I shall attempt to suggest the content (message) behind Schnittke's musical discourse by providing a brief narratological reading of the work. The following interpretative closure, however, represents nothing more than my own subjective voice. It serves as an open-ended response to Schnittke's musical work, awaiting, in its turn, participation from other consciousnesses in the continual dialogic exchange and seeking of truth.

[166]Schnittke, *Alfred Schnittke zum 60. Geburtstag*, 96. (Refer to Schnittke's description of the piece at the beginning of the formal analysis section.)

While the form and polysemous musical material of the Piano Concerto evince a strong sense of indeterminacy, one component remains unchanged melodically and texturally throughout the concerto: the six-measure Orthodox Church music segment that functions as the transition in the sonata-allegro form (Figure 4-4). This simple church music segment first appears in rehearsal 6 and later in rehearsals 37-38. In each of its three appearances, the church theme rings unmistakably clear in the violin part (Vl.1). It is only in its third appearance at rehearsal 38 that Schnittke moves the church theme to a higher register (with the ordered pitch-class set unchanged) to accompany the intensification of the music which reaches a climatic point on the downbeat of rehearsal 39. If we construe the Piano Concerto as an expression of Schnittke's worldview, we can perhaps surmise that the largely unaltered religious segment represents Schnittke's devout religious belief. In an interview with Ivashkin, Schnittke expresses his distrust in systematized knowledge and all-encompassing philosophical ideas as follows:

> I am continually aware of the total inadequacy of a philosophy of ideas. It is for this reason that all those naïve mystics who were disinclined to systematize and limit what they knew, simply expounding it, are now more important to me than those who erected a structured system of knowledge. . . . As for religion, . . . I am at once brought back to a naïve and primitive sense of religious faith and find I can at once have faith in it all, in spite of the naiveté of religion and its rituals. . . . In the naiveté something infinite is preserved. In spite of the unconvincing words, there seems to remain something invisible, what is most important, what is most basic.[167]

We can thus conjecture the underlying musical narrative of the Piano Concerto to be telling the story of a steadfast faith that survives in a world of change and uncertainty.

[167]Schnittke, "From Schnittke's Conversation with Alexander Ivasklin (1985-1994)," in *A Schnittke Reader*, 7-8.

CHAPTER 5

POLYSTYLISM IN SCHNITTKE'S CONCERTO GROSSO No. 3

5.1 Introduction to Polystylism

The concept of *polystylism* is closely related to those of *borrowing* and *intertextuality*. The more general term *borrowing* has been used in music studies to describe the incorporation of musical elements from pre-existent music in new compositions. Some of the procedures employed by musical borrowing include quotation, allusion, paraphrase, imitation, adaptation, and arrangement. The range of musical elements borrowed includes melody, texture, rhythm, timbre, contour (of melody, texture, and rhythm), gesture, chord progression, pitch collection, form, structural devices and technical devices.[168]

Intertextualité (intertextuality) is a term coined by literary critic Julia Kristeva in the 1960s. The notion of intertextuality is heavily laden with influences from Saussure's theory of differential signs and Bakhtin's dialogism.[169] To Saussure, signs are non-referential but relational and their meanings are derived from their syntagmatic (combinatory) and paradigmatic (association) relations to other signs. Bakhtin's dialogism depicts a reality where all ideas are evolved out of the perpetual intersubjective

[168]J. Peter Burkholder, "Borrowing," in *Grove Music Online*. *Oxford Music Online*, http://www.oxfordmusiconline.com.proxy1.lib.uwo.ca:2048/subscriber/article/grove/music/52918 (accessed April 11, 2008).
[169]Graham Allen, *Intertextuality* (London and New York: Routledge, 2000), 8-60.

exchange between the self and the other. When Kristeva first used the term intertextuality in her linguistic writings, she acknowledged Bakhtin's influence:

> Each word (text) is an intersection of word (texts) . . . an insight first introduced into literary theory by Bakhtin: any text is constructed as a mosaic of quotations; any text is the absorption and transformation of another. The notion of *intertextuality* replaces that of intersubjectivity.[170]

Although there exists no universal definition for the term, we can infer from Saussure and Bakhtin's theories that the essence of intertextuality lies in its identification of the interdependent and heteronomous nature of individual texts.

The term intertextuality has since been widely appropriated by the arts and become synonymous with influence. Along with the six revisionary ratios, described in Harold Bloom's book *The Anxiety of Influence* (1973) as devices to avoid influence from the past, intertextuality makes the successful crossing over into music hermeneutics and incites the beginning of intertextual analysis.[171] In music, Robert Hatten defines intertextuality as "a theoretical and analytical approach [that] embraces and reveals the richness of meaning afforded by a work's relationships (direct or indirect) with other

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[170]Julia Kristeva, "Word, Dialogue, and Novel," in *The Kristeva Reader*, edited by Toril Moi (New York: Columbia University Press, 1986), 37. Although Bakhtin did not use the term intertextuality, he describes its very operations: quotation, absorption, and transformation, on pre-existent word as he writes: "The word in language is half someone else's. It becomes 'one's own' only when the speaker . . . appropriates the word, adapting it to his own semantic and expressive intention. Prior to this moment of appropriation, the word does not exist in a neutral and impersonal language. . . , but rather it exists in other people's mouths, in other people's contexts, serving other people's intentions." See Bahktin, "Discourse in the Novel," 293-4.

[171]Harold Bloom, *The Anxiety of Influence: a Theory of Poetry* (Oxford: University of Oxford Press, 1973). Michael Klein describes the influence Bloom's revisionary ratios has on Kevin Korsyn's development of his intertextual analytical method. See Michael Klein, *Intertextuality in Western Art Music* (Bloomington: Indiana University Press, 2005), 16-8.

works (specified or generic) or styles (literal or refracted) as those relationships feed into the strategies of the musical work."[172]

Polystilistisch (polystylistic), a term coined by Schnittke, first appeared publicly in his essay "Polystylistic Tendencies in Modern Music."[173] In Schnittke's correspondence, however, we find him using the term *Überstil* before he adopts *polystylism* as a designation for his "idea of stylistic hybrids."[174] In a series of seven letters, Schnittke discussed his conception and development of the polystylistic method and he described it variously as "*einer Art Überstil, wo verschieden stilistische Mittel . . . zusammenwirken*" (a kind of superstyle where different stylistic means work together), "*hier alle Mittel irgendwie so «verfremdet» . . . zu haben, daß alles «erlaubt» wird* " (to have here all means somehow so "alienated" . . . that everything is "allowed"), "*kann man alles «mitnehmen,» was es schon gibt und . . . mit Stilen spielen, verwandte und fremde Stile finden, stilistische Modulationen auswerten* "(one can "take with him" everything that is already there, and . . . play with styles, find related and foreign styles, utilize stylistic modulations), and "*einen möglichen neuen Weg der Entwicklung der europäischen Musik – auf den Weg einer organischen Polystilistik. Solch – keineswegs Collage, sondern gelenkte polystilistische Dimensionserweiterung*" (a possible new way of development of European music—by way of an organic polystylism. Such is by no means collage, but guided polystylistic dimension expansion).[175]

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[172]Robert S. Hatten, "The Place of Intertextuality in Music Studies," *The American Journal of Semiotics* 3/4 (1985): 69-77, https://www.lib.uwo.ca/cgi-bin/ezpauthn.cgi/docview/213747797?accountid=15115 (accessed April 11, 2008).
[173]Schnittke, "Polystylistic Tendencies in Modern Music," 87-90.
[174]Peter J. Schmelz, "In the Crucible of Polystylism: Schnittke's Correspondence with Pousseur," *Mitteilungen der Paul Sacher Stiftung* 24 (2011): 30-4.
[175]Ibid., passim. Author's own translation.

Schnittke believes polystylism is executed through two basic principles: the principle of quotation and the principle of allusion.[176] The principle of quotation is realized through adoption and adaptation. While quotation refers to both direct quotation of musical fragments and indirect quotation of an alien style's stereotypical musical elements and compositional devices (e.g., melodic intonations, harmonic sequences, cadential formulae, form, rhythm, and texture), adaptation refers to the "retelling of an alien text in one's own musical language . . . or a free development of alien material in one's own style."[177] The principle of allusion is realized through "the use of subtle hints and unfulfilled promises that hover on the brink of quotation but do not actually cross it" and likewise can be applied to both musical fragments and styles.[178]

Borrowing, intertextuality, and polystylism thus all refer to the assimilation of pre-existent material through common practices of appropriation. On musical borrowing, J. Peter Burkholder writes that "the use of existing music as a basis for new music is pervasive in all periods and traditions" and proceeds to identify instances of music borrowing from the Middle Ages to the present.[179] Hatten uses the terms intertextuality and borrowing interchangeably and draws examples of intertextuality in music from the High Renaissance to the twentieth century.[180] Schnittke acknowledges the influence of Henri Pousseur, Stravinsky, Stockhausen, and Arvo Pärt's "polystylistic" methods on the

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[176]Schnittke, "Polystylistic Tendencies," 87-90.
[177]Ibid., 87-8.
[178]Ibid., 88.
[179]J. Peter Burkholder, "Borrowing," in *Grove Music Online. Oxford Music Online*, http://www.oxfordmusiconline.com.proxy1.lib.uwo.ca:2048/subscriber/article/grove/music/52918 (accessed April 11, 2008).
[180]Robert S. Hatten, "The Place of Intertextuality in Music Studies," *The American Journal of Semiotics* 3/4 (1985): 69-77, https://www.lib.uwo.ca/cgi-bin/ezpauthn.cgi/docview/213747797?accountid=15115 (accessed April 11, 2008).

development of his own.[181] In his essay "Polystylistic Tendencies," Schnittke again uses the term polystylistic to refer to the music of other twentieth-century composers who practice musical borrowing. Further, Schnittke notes that "polystylistic elements have long existed in European music—not just overtly in parodies, fantasies, and variations but also at the heart of monostylistic genres . . . . The breakthrough into the polystylistic method proper originated in the particular development in European music of a tendency to widen musical space."[182] It is evident that Schnittke never intended to limit the term to the description of his own music, since he uses it to refer to music borrowing both before and after the term's coinage. We can surmise that Schnittke sees his polystylistic method as part of the development of twentieth-century music, where the amount and frequency of borrowing surges and becomes transparent.[183]

In her book *Musical Style and Genre: History and Modernity* (2000), Marina Lobanova argues that polystylism burgeoned in the twentieth century as a consequence of several musical and cultural factors. These include the collapse of the Classical-Romantic canon, the rejection of hierarchical primary-secondary structural frameworks, the attenuation of the desire for stylistic integrity and unity, the evaporation of strict boundaries between high and mass art with an ensuing tendency towards a synthesis of the arts, and the injection of factors like "polyglotism" and cultural globalization that leads to the confluence and coexistence of different ideas as in Bakhtinian pluralism.[184]

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[181]Schmelz, "In the Crucible of Polystylism": 30-34, passim.
[182]Schnittke, "Polystylistic Tendencies," 89.
[183]In my discussion of Schnittke's music, I will confine myself to using the term polystylism. However, barring some philosophical connotation or the lack thereof, I believe the terms borrowing, intertextuality, and polystylism are in essence equivalent and interchangeable.
[184]Lobanova, *Musical Style and Genre*, 125-132; 157.

By nature, polystylism reflects the heterogeneity of the postmodern condition and introduces a sense of "documentary objectivity of musical reality." [185]

In the following analysis, it will come to light that Schnittke employs a myriad of formal and pitch organization systems including *concerto grosso*, sonata-allegro form, multi-movement sonata form, binary form, cyclic form, harmonic sequence, twelve-tone rows, *cantus firmus*, permutation fugue, *stretto*, *ritornello*, and *obbligato* melody. We will explore the manner in which Schnittke integrates the different components mentioned above to create a polystylistic musical space that exudes his individuality and at the same time mirrors pluralism.

5.2 Concerto Grosso No. 3 (1985)

Written in 1985, the tercentenary of the birth of J. S. Bach and the centennial of that of Alban Berg, direct references to both Bach and Berg appear in the form of their musical monograms in the Concerto Grosso No. 3.

The work assumes the form of a *concerto grosso*. By definition, *concerto grosso* is "a type of concerto in which a large group (known as the 'ripieno' or the 'concerto grosso') alternates with a smaller group. . . . The term 'concerto grosso' is often loosely applied to any concertos of the Baroque except solo ones."[186] The *ripieno* in the concerto under discussion consists of two violins (eight violinists), a viola (three violists), a cello (two cellists), and a double bass (one doublebass player). The smaller group of soloists, the *concertino*, consists of two solo violins, *campane* comprising four tubular bells, and

[185] Schnittke, "Polystylistic Tendencies," 90.
[186] "Concerto grosso," in *Grove Music Online*. *Oxford Music Online*, http://www.oxfordmusiconline.com.proxy2.lib.uwo.ca:2048/subscriber/article/grove/music/06254 (accessed April 8, 2008).

one of three keyboard instruments: cembalo, piano, or celesta. The use of keyboard instruments in the *concertino* can be understood as a tribute to Bach who first brought keyboard instruments from the continuo bass section to the solo part.[187] As one of the solo instruments, the *campane* appear very sparingly and they play only four pitch-classes, {9AB0}, expressing the B-A-C-H motif. In fact, Schnittke uses the B-A-C-H motif (pitch-class set <A90B>) thematically throughout the entire concerto.[188] No doubt the use of Bach's monogram as a thematic motif, together with the adoption of the

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[187]Christoph Wolff, et al. "Bach," in *Grove Music Online*. *Oxford Music Online*, http://www.oxfordmusiconline.com.proxy2.lib.uwo.ca:2048/subscriber/article/grove/music/40023pg10 (accessed April 8, 2008).

[188]Concerto Grosso No. 3 represents one of, at least, eight pieces where Schnittke includes the B-A-C-H motif. The other seven are Glass Harmonica (1968), Violin Sonata No.2 (1968), Piano Quintet (1972-6), Concerto Grosso No.1 (1977), In Memoriam (1978), Concerto for Piano and Strings (1979), and Symphony No.3 (1981).

The earliest documentation of *musical cryptography*, which is the expression of extra-musical texts through musical notations and ideas, dates back to the 16th century. The most common method is the use of letter nomenclature of musical notes to spell out names of people or semantic ideas. It was adopted by composers including Bach, Schumann, Schoenberg, Berg, Shostakovich, and Schnittke, to name but a few. The number of music encipherment systems is many, limited only by the ingenuity of the encipherer who creates a mapping between the musical notes and the Roman alphabets of a language. It can be highly challenging if not impossible to decipher a hidden message if the language of the encrypted message is not made clear or the encipherment system used is not known. Among the music encipherment systems, the two most well-known ones are the French and the German systems. The French system fits the 26 letters of the alphabet into a 7x4 grid as shown:

A	B	C	D	E	F	G
H	I	J	K	L	M	N
O	P	Q	R	S	T	U
V	W	X	Y	Z		

Each letter, or Roman alpha character, corresponds to the musical note whose letter nomenclature can be found at the top of the column. For example, in this many-to-one system the letters A, H, O, and V would all be mapped onto the musical note A. The French system later modified the mapping of the letter H to make it correspond to the note B♮ instead of the note A.

From what the present analysis has deciphered thus far, Schnittke has adhered to the German system. In the German system, the letters A to G correspond directly to the letter nomenclatures of the musical notes A to G with the exception that letter H corresponds to the note B♮ and letter B corresponds to the note B♭. Letter S, pronounced as 'Es' in German, is represented by the note E♭ and it expands the number of translatable letters to 9 as shown in the following table:

Letters	A	B	C	D	E	F	G	H	S
Notes	A	B♭	C	D	E	F	G	B	E♭

In enciphering a text, all letters which fall outside of the gamut of translatable letters are skipped over. Thus, the name "Bach" is translated into musical notes B♭-A-C-B♮ and represented by pitch-class set <A90B>. Alban Berg, abbreviated as, "A. Berg," is translated into musical notes A-B♭-E-G and represented by pitch-class set <9A47>. The letter R is not translatable and is therefore skipped over. See Eric Sams. "Cryptography, musical," in *Grove Music Online*. *Oxford Music Online*, http://www.oxfordmusiconline.com.proxy1.lib.uwo.ca:2048/subscriber/article/grove/music/06915 (accessed: April 9, 2008).

popular Baroque orchestral form *concerto grosso*, and the use of keyboard instruments in the *concertino*, serve as a panegyric to Bach and as symbolic reference to Baroque music.

Less obvious but nevertheless carrying equal structural significance are tributes made to Berg. These include the B-E-R-G motif (pitch-class set <9A47>) that begins one of the thematic twelve-tone rows, the borrowing of content from one of the tone rows in Berg's *Der Wein*, and stylistic features like the use of multiple twelve-tone rows that are interconnected structurally through some intricate precompositional design, the embedding of an ordered pitch-class set in all the thematic tone rows, the use of cyclic form where multiple movements are linked by common themes, and the use of circular form where an opening gesture recurs at the end of the work. Although none of these stylistic features is exclusive to Berg's music, collectively they characterize the Bergian style. In particular, they represent some well-recognized features in Berg's opera *Lulu* and his concert aria *Der Wein*, two late works that Berg worked on in 1929.[189]

5.2.1 Analysis

The formal design of the piece follows that of an "inverted" or modified two-dimensional sonata form.[190] As Table 5-1 shows, every movement in the five-movement

[189]Beyond the temporal connection between Berg's *Der Wein* and *Lulu*, Headlam believes *Der Wein* carries significant seminal value for *Lulu* since the development of much of the materials in *Lulu* is attributed to an extension of Berg's *systemic order-position operations* which was first used in *Der Wein*. See Dave Headlam, "Row Derivation and Contour Association in Berg's *Der Wein*," *Perspectives of New Music* 28/1 (1990): 256-92. I will discuss other stylistic characteristics of Berg as they appear. See also Douglas Jarman, "Alban Berg: The Origins of a Method," *Music Analysis* 6/3 (1987): 273-88, and Robert P. Morgan, "The Eternal Return Retrograde and Circular Form in Berg," in *Alban Berg: Historical and Analytical Perspectives*, edited by David Gable and Robert P. Morgan (Oxford: Clarendon Press, 1991), 111-49.

[190]As one would recall from the discussion in chapter 4, a two-dimensional sonata form is *a one-movement amalgamation* of sonata-allegro form and multi-movement sonata form at the same hierarchical level. An "inverted" two-dimensional sonata form is, by inference, *a multi-movement amalgamation* of sonata-allegro form and multi-movement sonata form. The former overlay, the two-dimensional sonata form,

piece coincides with a section in sonata-allegro form in the following manner: First movement corresponds to the introduction; second movement to the exposition; third movement to the development; fourth movement to the recapitulation; and fifth movement to the coda.

Table 5-1. "Inverted" two-dimensional sonata form as manifested in Schnittke's Concerto Grosso No. 3

Movement	First	Second	Third	Fourth	Fifth
Tempo Marking	*Allegro*	*Risoluto*	*Pesante*		*Moderato*
Sonata-Allegro Form	Introduction	Exposition	Development	Recapitulation	Coda

5.2.1.1 First Movement—Allegro

The opening movement, based loosely on simple binary form, consists of two parts of comparable length. The first part, which begins with a seven-measure introduction and comprises the unfolding of a harmonic sequence, ends abruptly before reaching any structural or harmonic goals at rehearsal 4 with the sudden appearance of an aggregate chord. The second part, rehearsals 4 - 8, also ends without a cadential gesture of any kind.

As a whole, this bipartite movement makes very economical use of set-class material. The first part limits itself to set-classes 3-11, 4-26, 4-27, 7-34, and 7-35 exclusively: i.e., harmonies that carry strong diatonic allusions, namely the major and minor triad, the minor-seventh chord, the dominant-seventh chord, the melodic minor

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can be thought of as an integration of a contracted multi-movement sonata form with the single-movement sonata-allegro form. The latter overlay, the "inverted" two-dimensional sonata form, can be thought of as an integration of an expanded single-movement sonata-allegro form with the multi-movement sonata form.

scale, and the diatonic scale. The second part comprises set-classes 3-10, 4-28, 4-9, 12-1 and their subsets: i.e., harmonies that thwart tonal orientation, namely the diminished triad, the diminished-seventh chord, the tetrachord that contains two interlocking tritones related by a minor second, and the chromatic scale. The two parts thus find their contrast in harmonic vocabulary and material.

The seven-measure opening introduction establishes the movement's tonal orientation in G minor by moving from a melodic G in the solo cembalo supported by G minor harmony (mm.1-3) through the dominant with melodic D in the cembalo and its accompanimental D major harmony (mm. 4-5) before returning to the tonic of G minor (mm. 6-7). The irregular phrase structure of the introduction is composed of two units with contrasting melodic contours in the *concertino*. As shown in Figures 5-1 and 5-2, the melodic contour of the first unit (mm.1-3) is marked by scalar motions. It precedes the second unit (mm. 4-5) whose contour is marked by broken triadic motions. The second unit repeats a semitone higher in mm. 6-7 and completes the introduction section.

Figure 5-1. The first structural unit in first movement's introduction with melodic contour marked by scalar motions

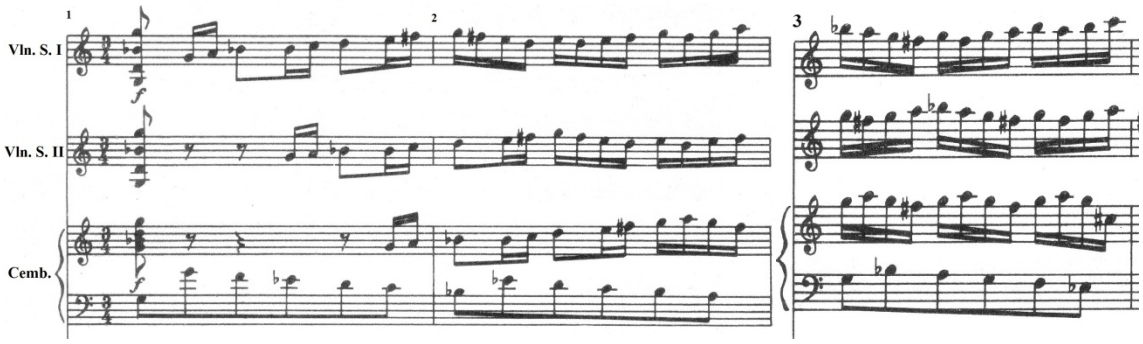
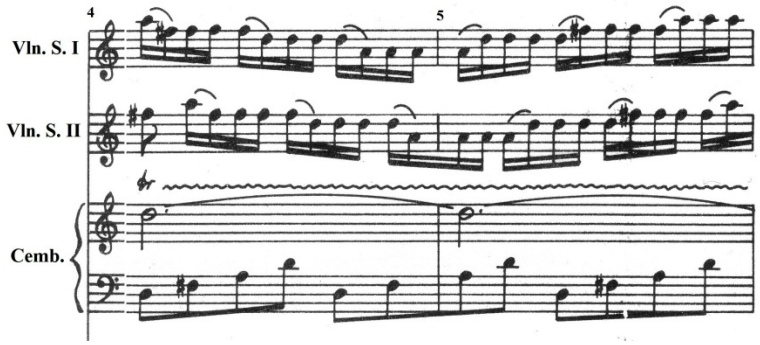


Figure 5-2. The second structural unit in first movement's introduction with melodic contour marked by broken triadic motions



The two melodic units function as motives of a harmonic sequence that spans the entirety of the first part of the binary form.

As Table 5-2 shows, the ascending second sequence (A2) begins with a tonal reference to G minor at mm. 6-7. It then follows a descending third/ascending fourth pattern. By the end of rehearsal 3, most listeners familiar with tonal conventions and repertoire would strongly expect D major harmony, the arrival of which implies either a continuation of the sequence or a traditional cadential closing in the dominant for the first part.

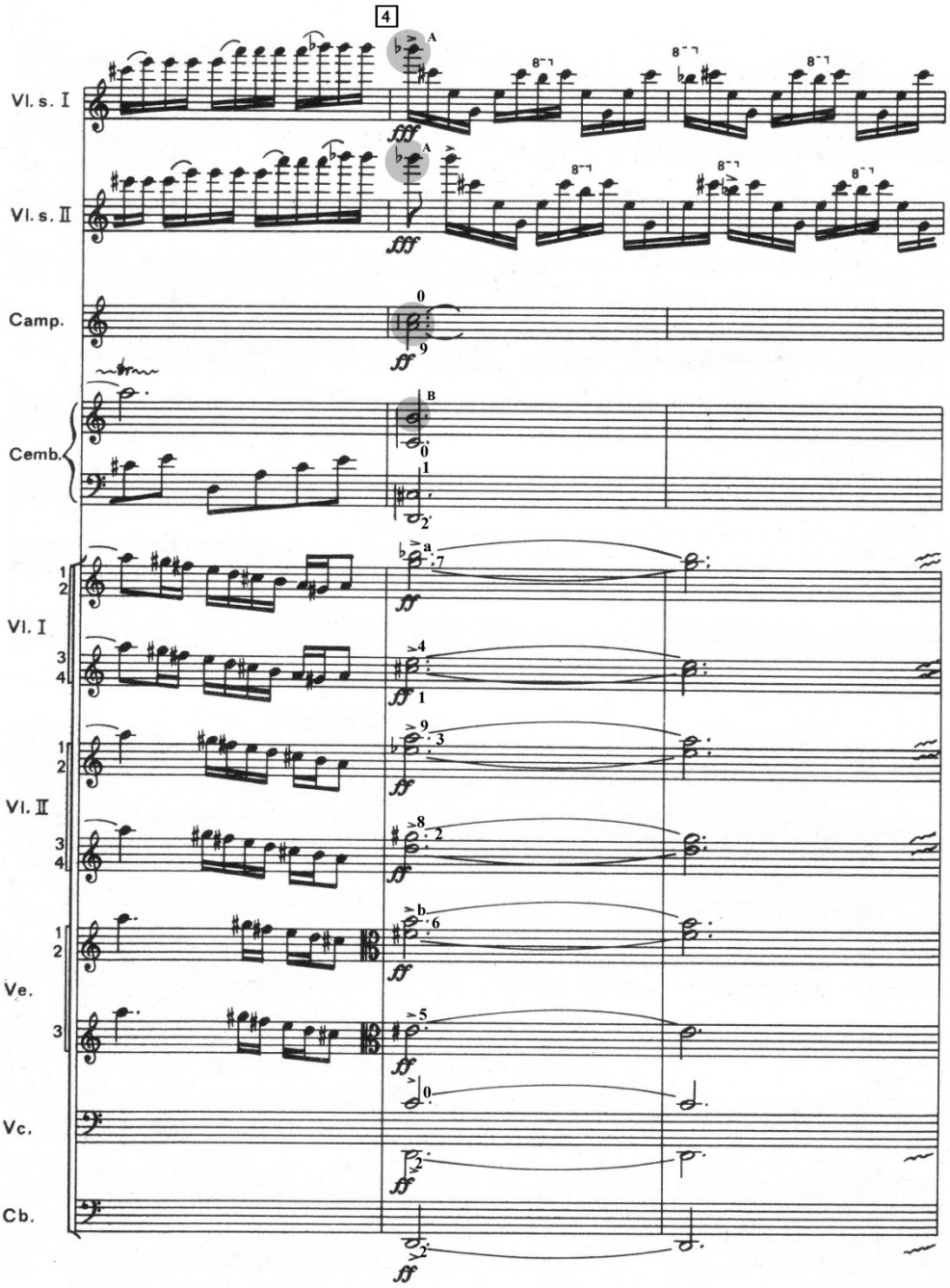
Table 5-2. Ascending second sequence in the first part of Movement I's binary form (m.1 to rehearsal 3). S = scalar unit; T = triadic unit

Rehearsal				1			2			3			4
Measure	1-3	4-5	6-7	8-10	11-2	13-4	15-7	18-9	20-1	22-3	24-5	26-7	
Motif	S	T	T	S	T	T	S	T	T	T	T	T	
Key	g	D	g	E		A	F	(D)	B ♭	G	c	A	(D)
A2 seq.			g			A			B ♭		c		(D)

However, the sequence ends suddenly at rehearsal 4 with the brusque appearance of a *fortissisimo* aggregate chord, which casts the music immediately out of

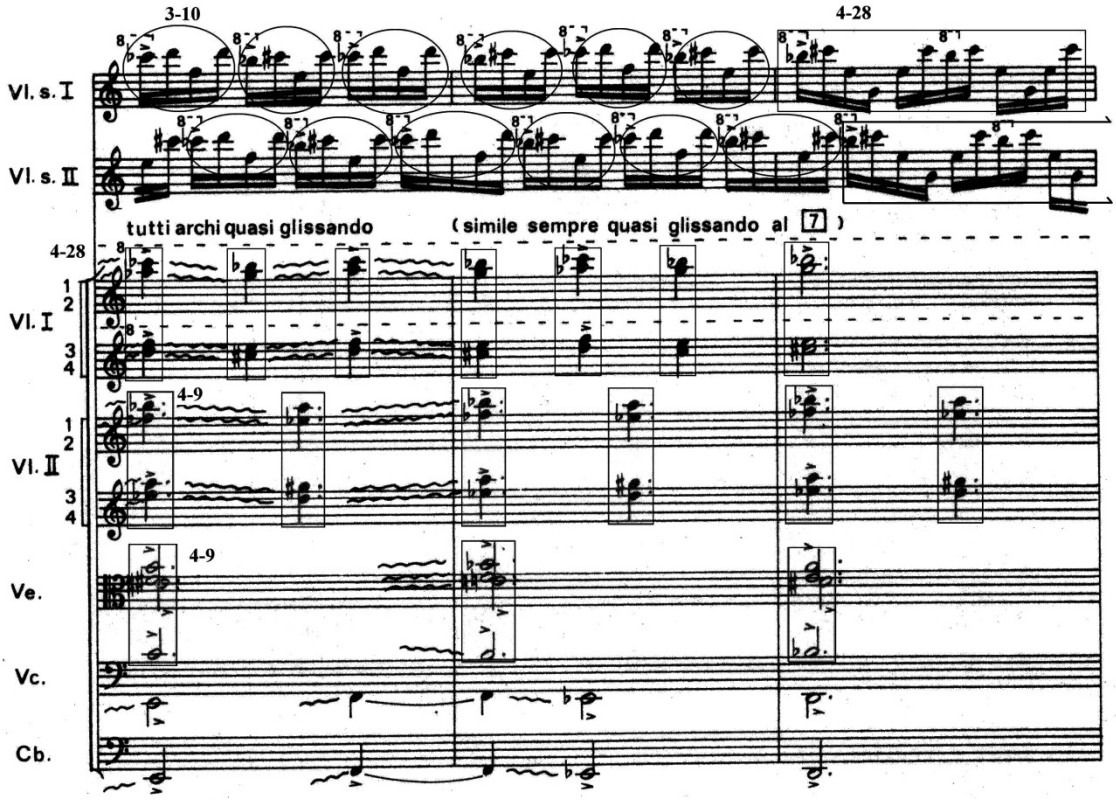
the realm of the Baroque and launches the second part of the binary form (rehearsals 4 – 8; Figure 5-3). The reference to the B-A-C-H motif, found in the highest four voices in the *concertino* (pitch-class set {9AB0}), remains the only symbolic connection with the previous section.

Figure 5-3. Point of division in the bipartite form of Movement I where tonality meets atonality with the appearance of an aggregate chord at rehearsal 4



Tonal reference disintegrates instantly and completely at the point of entry to the second part. The solo violin parts engage in melodic-rhythmic *ostinati*, alternating between harmonies that express set-classes 4-28 (diminished-seventh chord) and 3-10 (diminished triad). Treble instruments in the five-part string *ripieno* articulate the *ostinati* of harmonies that belong to set-classes 4-28 (diminished-seventh chord) and 4-9 (tetrachord with double tritones) while the double bass engages in chromatic motions (Figure 5-4). The music moves forward, trance-like, devoid of any tonal center or direction. At rehearsal 7, all instrumental voices in the *concertino* and *ripieno* dissolve into polyphonic descending chromatic lines. The movement closes with the double bass fading away in *quasi glissando*, ending on the sustained pitch-class {1} (or C♯).

Figure 5-4. Excerpt from the last measures of rehearsal 4 exemplifying atonal *ostinati* in the second part of first movement's binary form



An introduction to sonata-allegro form characteristically establishes the tonic, and then cadences on the dominant (or relative major for minor keys) to prepare for the beginning of the exposition proper.[191] In his adaptation of the form here, however, Schnittke forgoes entirely the use of cadence that marks a traditional introduction. The first part of the movement establishes a tonal orientation in the key of G minor. It then enters directly into a harmonic sequence that stops short of bringing the music to the dominant key of D major. The atonal second part enters in D major's stead with pitch-class {2} in the double bass giving temporary relief to the tension built up in the first part. But what the double bass offers is too subdued for satisfactory resolution or closure. The second part of the movement closes on pitch-class {1}. Again, the section falls short of reaching a conclusive ending in D major. The first movement, as a whole, remains open and never closes in any key.

Because it is repeatedly set up as the goal, but time and again is postponed and denied fulfillment, the presence of D major, though abstract, is undeniable. The key of D major, or the harmonic closure it represents, is not accomplished from the listener's immediate musical perception, but from a deeper stratum of musical experience and consciousness. It testifies to Schnittke's observation that the functioning of a polystylistic method places a great demand on the cultural knowledge of the listener.[192] The arrival of the second movement is thus prepared by repeated, anti-climactic denials, heightened expectation, and the salient suggestion of D major.

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[191]William E. Caplin, *Classical Form: A Theory of Formal Functions for the Instrumental Music of Haydn, Mozart, and Beethoven* (New York: Oxford University Press, 1998), 205.
[192]Schnittke, "Polystylistic Tendencies in Modern Music," 90.

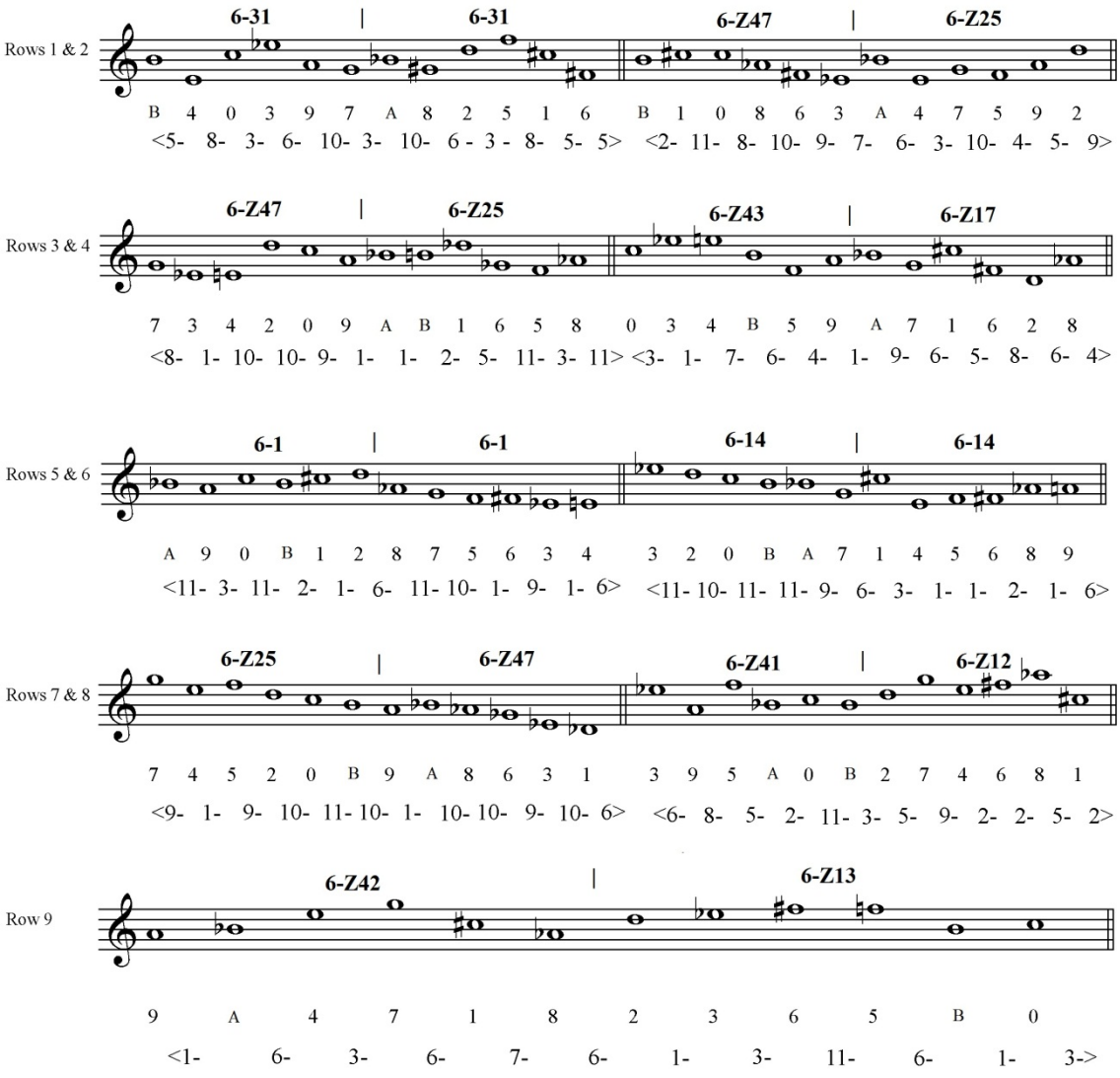
5.2.1.2 Second Movement—Risoluto[193]

Schnittke uses a total of nine thematic twelve-tone rows in this movement (see Figure 5-5). Eight of them are organized into four sets of two tone rows. Within each set, one tone row appears as a *cantus firmus* and the other as a non-functional triadic harmonization.[194] As the movement develops, the two tone rows within some of the four sets exchange their roles and engage in double invertible counterpoint. The last tone row to enter, Row 9 <9A47182365B0>, is the only one that appears singly without accompaniment.

[193]For the second and third movements which use tone rows as their main structural component, I will begin my discussion with a description of the structural features of the tone rows and their interrelationships. In particular, I will focus my discussion on *ordered* pitch-class sets since Berg used *systematic order-position operations* in developing materials for *Der Wein* and *Lulu* (See Headlam, "Berg's *Der Wein*"). After the discussion of the thematic tone rows, I will examine the formal structure as pertaining to the individual movements and discuss the manner in which the tone rows functions within each structure.

[194]As will become apparent, it is appropriate to use nomenclature of tonal counterpoint in the description of this movement. Though it engages tone rows as its basic structural element, its treatment of them is linear and the themes' hierarchical relation is essentially polyphonic. The term "serial polyphony" might best describe the style.

Figure 5-5. The nine tone rows from the second movement



From Figure 5-5, it is evident that all the successive interval arrays (*sia*) are unique. Furthermore, none are palindromically or inversionally equivalent to other rows. This fact precludes the nine tone rows, which are distinct ordered sets, from mapping onto one another through any of the four serial operations (transposition [P], inversion [I], retrograde [RP], and retrograde-inversion [RI]). Nonetheless, significant features, as described below, are shared by their ordered hexachords, imbuing the movement with structural coherence.

In twelve-tone theory, the concept of *hexachordal combinatoriality* is used to describe a twelve-tone row that is built from a hexachord and the transposed or inverted form of itself or its complement. There are four kinds of combinatoriality: prime (P), inversional (I), retrograde (R), and retrograde-inversional (RI). For example, set-class 6-31 possesses both inversional and retrograde-combinatoriality. Specifically, Hexachord A ({3479B0}) of Row 1 can be combined with the T_5I form of itself ({568A12}) or the T_0 form of its complement ({568A12}) to complete the aggregate. Combinatoriality concerns itself only with hexachordal content but not the ordering of constituent pitch-classes. Nevertheless, we will adapt the concept of combinatoriality to our description of ordered hexachordal sets. It is our belief that when used to describe ordered sets, it will highlight the powerful symmetric relations underlying the tone rows. In essence, our modified form of combinatoriality no longer deals in general with hexachords or their unordered members, but only treats specific ordered hexachordal sets.[195] The number of hexachords meeting the criteria of the modified form of combinatoriality is much smaller than for the general case. For example, under the original definition of combinatoriality, set-class 6-1, which is the source set of the constituent hexachords of Row 5, belongs to the set of all-combinatorial hexachords. Yet, when order is factored in, the two hexachords of Row 5, <A90B12> and <875634>, possess only prime combinatoriality.

The two 6-31 hexachords of Row 1, <B40397> and <A82516>, map onto each other through RT_5I, rendering them I-combinatorial.[196] Both Rows 5 <A90B12875634>

[195]Our adaptation of the concept retains the definitions of the four kinds of combinatoriality (P, I, R, and RI). The list of operations includes T_n, T_nI, and the added retrograde (R). Under the new scheme, the different kinds of combinatoriality correspond to their operation as follows: R-combinatorial and RI-combinatorial map a hexachord onto itself through RT_n and RT_nI respectively. P-combinatorial and I-combinatorial map a hexachord onto its complement through RT_n and RT_nI respectively.

[196]All ordered Hexachord As form a twelve-tone row by combining with their complementary Hexachord Bs at T_0. This represents the trivial case of R-combinatorial and we will refrain from mentioning it unless

and 6 <320BA7145689> are composed of P-combinatorial hexachords. Further, in Rows 5 and 6, Hexachord A maps onto its respective complementary Hexachord B through the same level of transposition (RT_6), representing an extra structural bond between these rows that belong to the same common set.

Figure 5-6 shows an alternative expression of Row 1's combinatorial property. It can be seen that the sequences of set-classes derived from recursively partitioning Row 1 into triads, tetrachords, and hexachords are palindromic in nature. This feature is predicated on Hexachord A's ability to map onto the retrograde of the complementary Hexachord B through some T_n or T_nI operation: that is, when Hexachord A is P- or I-combinatorial (as defined for ordered sets).

The representation of the rows through recursive segmentation (Figures 5-6 to 5-8) brings forth the combinatorial rows' structural symmetry, which in turn serves as a reference to Berg's preoccupation with palindromic designs.[197]

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the Hexachord A in question forms a twelve-tone row with its complement at transposition levels other than T_0. The only circumstance under which the trivial case of R-combinatoriality will be mentioned is when a hexachord also possesses the other three kinds of combinatoriality, in which case it is known as an (ordered) all-combinatorial hexachord.

[197] Berg's preoccupation with palindromes has been mentioned in Douglas Jarman, "Berg, Alban," in *Grove Music Online*. *Oxford Music Online*, http://www.oxfordmusiconline.com.proxy1.lib.uwo.ca:2048/subscriber/article/grove/music/02767 (accessed April 9, 2008) and discussed in detail by Headlam, "Berg's *Der Wein*":256-92, and Morgan, "The Eternal Return Retrograde and Circular Form in Berg," 111-49.

Figure 5-6. Triadic, tetrachordal, and hexachordal recursive segmentation of Row 1 from the second movement

Figure 5-7. Hexachordal recursive segmentation of Row 5 from the second movement

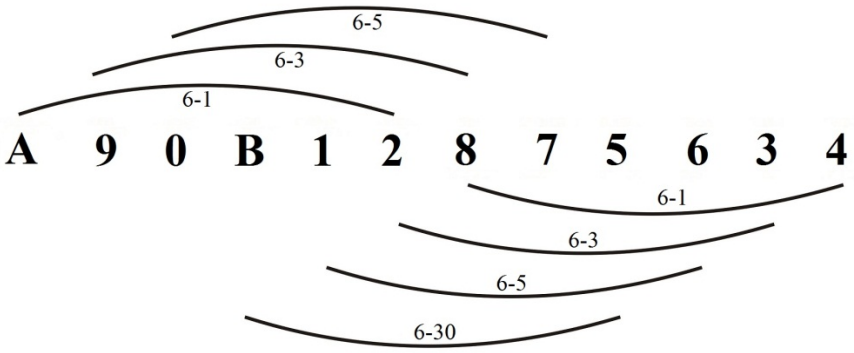
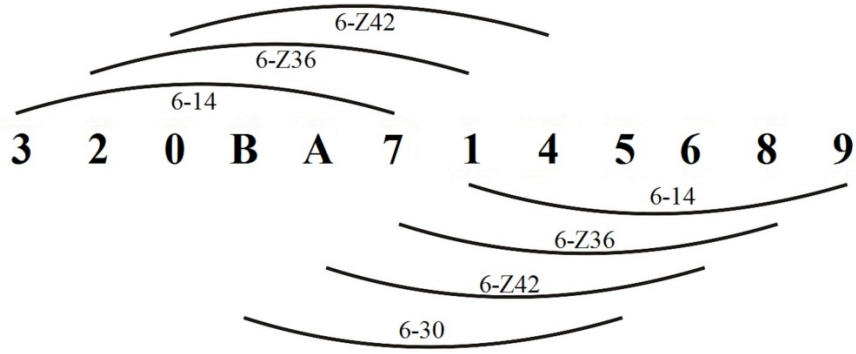


Figure 5-8. Hexachordal recursive segmentation of Row 6 from the second movement

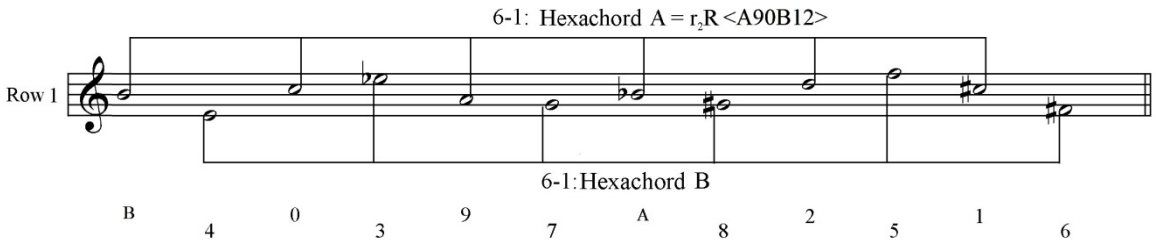


Rows related combinatorially share pitch-class content and can collaborate in establishing a distinct *region* in twelve-tone compositions (akin to key centers in tonal compositions). Combinatoriality therefore affords composers great ease and freedom in the transition between regions and in the overall structural organization of their twelve-tone work. In the present concerto, however, Schnittke uses only the prime forms of the tone rows and in so doing forfeits a significant compositional function of combinatoriality. By limiting quotation to twelve-tone structural elements but not twelve-

tone procedures, tonal structural elements but not tonal functions, Schnittke's polystylistic method embodies diverse musical styles and yet projects strong originality and individuality.[198]

Row 5 begins with the B-A-C-H motif and is related to Row 1 as shown in Figure 5-9. Every other pitch class in Row 1 contributes to the formation of a retrograde cyclic permutation (r) of Row 5's Hexachord A <A90B12>.

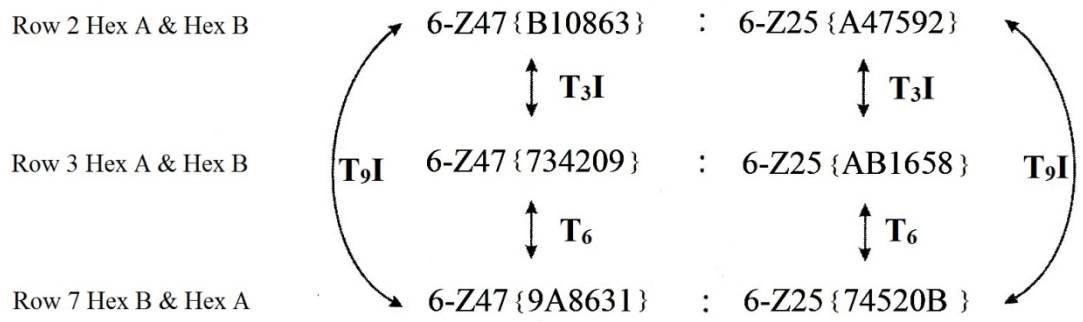
Figure 5-9. Relationship between Rows 1 and 5 from the second movement



Row 2 is made up of 6-Z47<B10863> and its complement 6-Z25<A47592>. They are identical in content to Hexachord B and Hexachord A of the tone row in Berg's concert aria *Der Wein* <24579A:1680B3>. Like Row 2, Row 3<734209AB1658> and Row 7<74520B9A8631> are composed of the same Z-related pair, 6-Z47 and 6-Z25. The T_nI transformational relationship among the three thematic rows is shown in the following diagram (Figure 5-10):

[198]The harmonic sequence from the first movement which begins in G minor and ends in C minor disappoints both the prolongational and transitional functions of harmonic sequences. It represents an instance of Schnittke quoting a tonal structure but relinquishing its associated compositional functions.

Figure 5-10. Interrelationships among Rows 2, 3, and 7 from the second movement



As mentioned before, eight of the nine thematic tone rows are organized into four pairs. Figure 5-11 shows that every pair of tone rows set up as *cantus firmus* and accompaniment shares pitches that are common to both rows in terms of position and pitch class. The number of these ordinal-pitch invariants ranges from four to seven for the four sets of themes. These invariant sets provide a certain degree of melodic similarity within the thematic set to which they belong.

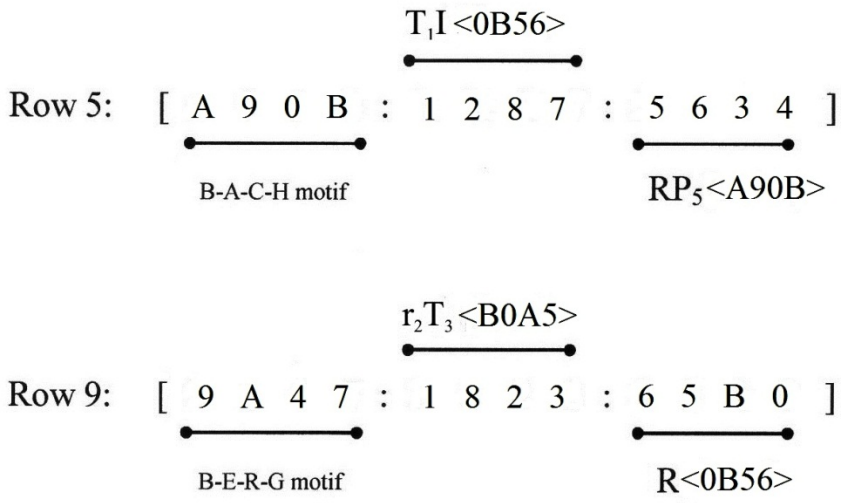
Figure 5-11. Ordinal-pitch invariant sets shown in bold

Row 1:	<**B** 4 **0** 3 9 7 **A** 8 2 **5** 1 6>	Row 3:	<7 **3 4** 2 0 **9 A** B **1 6** 5 **8**>
Row 2:	<**B** 1 **0** 8 6 3 **A** 4 7 **5** 9 2>	Row 4:	<0 **3 4** B 5 **9 A** 7 **1 6** 2 **8**>
Row 5:	<A 9 **0 B** 1 2 8 7 **5 6** 2 4>	Row 7:	<7 4 **5** 2 **0 B** 9 A 8 **6** 3 **1**>
Row 6:	<3 2 **0 B** A 7 1 4 **5 6** 8 9>	Row 8:	<3 9 **5** A **0 B** 2 7 4 **6** 8 **1**>

The last row to be introduced, Row 9 <9A47182365B0>, contains the monogram of Berg (<9A47>; see footnote 188) in its opening. Unlike the other tone rows that have been considered thus far, it is through tetrachordal instead of hexachordal segmentation that Row 9's structural relation to the other thematic sets is revealed. Figure 5-12 shows that while the first tetrachord of Row 9 expresses Berg's signature, the remainder of the

tone row is a concatenation of the ordinal-pitch invariant set from Rows 1 and 2 (r_2T_3<B0A5>) and that from Rows 5 and 6 (R<0B56>). A tetrachordal partition of Row 5, the B-A-C-H row, shows that it is the only other row that embeds the ordinal-pitch invariant set, <0B56>, in its structure (as T_1I<0B56>). Therefrom lies one of the connections between the two monogrammatic rows.

Figure 5-12. Connection between the B-A-C-H and B-E-R-G rows from the second movement



From the tetrachordal partition of the nine tone rows illustrated in Figure 5-13, it can be seen that Rows 5, 7, and 9 are composed entirely of all-combinatorial tetrachords.[199]

[199]An all-combinatorial tetrachord has the property that the aggregate can be derived from it by combining its T_0, T_4 and T_8 transpositions. Its interval vector therefore has a zero value for interval class 4. There are a total of seven all-combinatorial tetrachords, namely set-classes 4-1, 4-6, 4-9, 4-10, 4-13, 4-23, and 4-28.

Figure 5-13. Tetrachordal partitions of the nine tone rows from the second movement

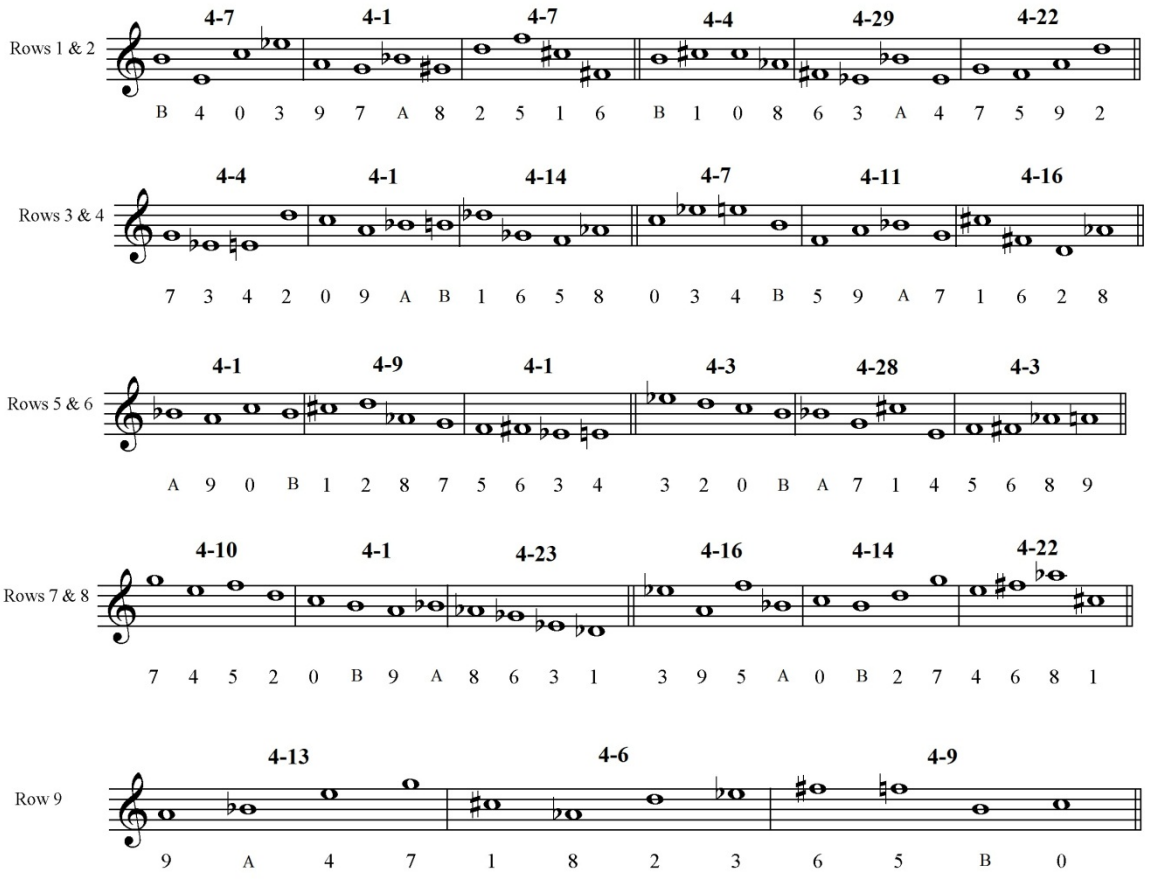
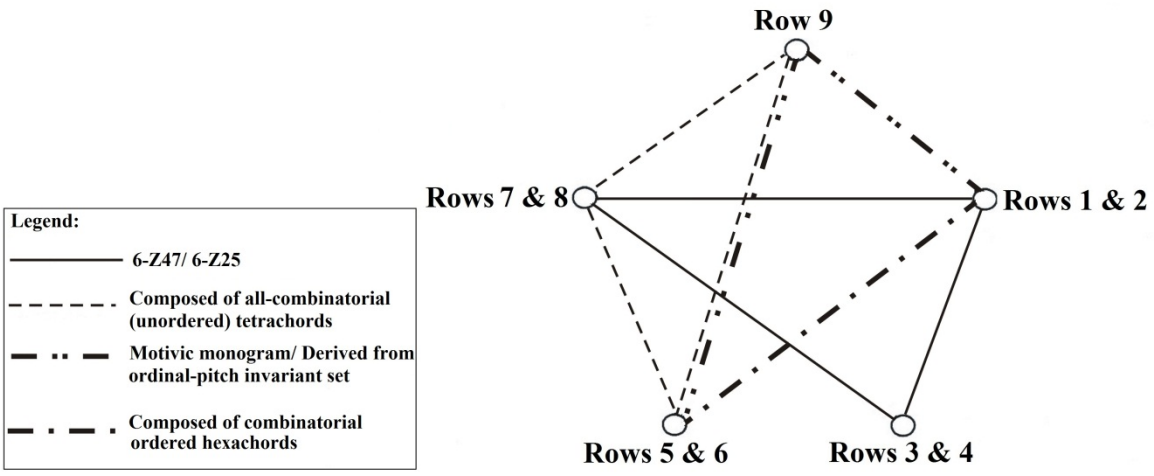


Figure 5-14 summarizes all the aforementioned structural connections between the thematic rows. For the sake of simplicity, tone row pairs are presented as single entities in the diagram. It is evident from the diagram that, if there is not already a direct connection among them, all the rows are connected to one another at least indirectly. The stronger the similarity among the rows, the greater the underlying structural coherence. The degree of similarity is dependent upon the number of shared characteristics uncovered.

Figure 5-14. Structural relations among thematic rows in the second movement



The second movement bears structural properties of both a fugal exposition and a permutation fugue.[200] The most noticeable feature common to both formal designs is the successive entrances and exits of the various voices where each voice waits for the preceding voice to complete the statement of the opening theme before making its own entrance. However, the movement adheres more closely to the permutation fugue in form for the following reasons: (1) there is an obvious lack of non-thematic material like episodic material, (2) there is an absence of a subject statement in related keys, or in the

[200]*Permutation fugue* is defined as "a type of composition that brings together certain characteristics of fugue and of canon, namely: (1) The voices enter successively, as in fugue, each waiting until the preceding voice has stated the opening theme. (2) Entries alternate between tonic and dominant. (3) Each voice, once it has completed its statement of the opening theme, continues by stating two or three additional themes of the same length, all voices stating these themes in the same order. (4) There is almost no non-thematic material; that is, when a voice has completely stated all themes, it begins the series over again, either immediately or after a rest, and restates all themes, again in the same order." See Paul M. Walker, "Permutation fugue," in *Grove Music Online*. *Oxford Music Online*, http://www.oxfordmusiconline.com.proxy1.lib.uwo.ca:2048/subscriber/article/grove/music/51715 (accessed April 9, 2008).

case of thematic twelve-tone rows, statement of rows in serially-transformed modes, and (3) the identical length of the themes.[201]

Table 5-3 shows the overall formal structure of the second movement. Of particular interest is the last measure of rehearsal 5 where the primary voice, solo violin I, completes the statement of all nine themes. It coincides with the moment when all the other voices also finish stating their respective themes. Immediately, the music enters into another reiteration of the themes which follows the same order, starting with Rows 1 and 2 in solo violin I. Yet, instead of having each of the voice parts repeating all the nine themes linearly, Schnittke assigns each voice part its own theme and staggers the entrances vertically, creating a highly compressed *stretto* section (rehearsal 6).

[201] As demonstrated thus far, Schnittke never abides strictly by any theoretical or formal systems. In his adaptation of conventional formal structures, his personal stylistic considerations always take precedence over exactitude. In this movement, although the solo voices do make their entrances successively as per traditional practice, the viola and cello in the *ripieno* enter in *stretto* and the double bass does not play a statement of the opening theme. Moreover, subject entries do not alternate between tonic and dominant, nor are they transformed in any manner. Lastly, the piano part deviates from the prescribed order of thematic statements by omitting the statement of Row 9 and inverting the order of Rows 5 & 6 and Rows 7 & 8. Overall, however, the structural features collectively bespeak a permutation fugal form. Together, they override the deviations mentioned.

Table 5-3. Formal Structure of the second movement

<table>
<tr><td>Rehearsal/
Measure No.</td><td>mm.1-15</td><td>1</td><td>2</td><td>3</td><td>4</td><td>5</td><td>6</td></tr>
<tr><td>Solo Violin I</td><td rowspan="2">Rows 1 & 2
mm. 1-13</td><td rowspan="2">Rows 1 & 2
mm. 16-30</td><td>Rows 3 & 4
mm. 30-43</td><td rowspan="2">Rows 5 & 6
mm. 45-60</td><td>Rows 7 & 8
mm. 61-75</td><td>Row 9
mm. 77-90</td><td>Rows 1 & 2; 1/2-HexA**
mm. 91-103; 106-110</td></tr>
<tr><td>Solo Violin II</td><td>Rows 3 & 4
mm. 31-44</td><td>Rows 7 & 8
mm. 61-75</td><td>Row 9
mm. 78-90</td><td>Rows 3 & 4; 3/4-HexA
mm. 91-103; 106-110</td></tr>
<tr><td>Piano</td><td></td><td></td><td>Rows 1 & 2
mm. 31-45</td><td>Row 2
mm.46-60</td><td>Rows 3 & 4
mm. 60-72*</td><td>Rows 7 & 8
mm. 76-90</td><td>Rows 5 & 6
mm. 91-104</td></tr>
<tr><td>Violin I</td><td></td><td></td><td rowspan="2">Rows 1 & 2
mm.33-45</td><td>Rows 3 & 4
mm. 45-60</td><td>Rows 5 & 6
mm.60-75</td><td>Row 1
mm. 76-90</td><td>Rows 7 & 8
mm. 92-107</td></tr>
<tr><td>Violin II</td><td></td><td></td><td>Rows 3 & 4
mm. 47-60</td><td>Row 1
mm. 61-75</td><td rowspan="2">Rows 5 & 6
mm. 75-90</td><td>Row 9
mm. 92-107</td></tr>
<tr><td>Viola</td><td></td><td></td><td></td><td>Row 1
mm. 46-60</td><td rowspan="2">Rows 5 & 6
mm. 60-75</td><td></td></tr>
<tr><td>Cello</td><td></td><td></td><td></td><td>Row 1
mm. 48-60</td><td rowspan="2">Rows 3 & 4
mm. 75-90</td><td></td></tr>
<tr><td>Double Bass</td><td></td><td></td><td></td><td></td><td>Row 9
mm. 62-73</td><td></td></tr>
<tr><td colspan="8">* Rows 3 & 4 begin in Violin I at one measure before 2. They then continue in the piano from one measure after 4 onwards.
** 1/2-HexA represents both Rows 1 and 2's Hexachord A. Similarly, 3/4-HexA represents Rows 3 and 4's Hexachord A.</td></tr>
</table>

As if to underscore the cyclicity of the form, this modified permutation fugue starts one more time with yet another thematic restatement in *stretto* (m.106), halting only after the hexachords of the first two thematic sets are completed. The ending of this movement bears a marked resemblance to that of Berg's *Der Wein*. According to Morgan, ". . . Berg's ending does not reach a conclusion but takes the listener back 'around' to the opening. The close of *Der Wein* sounds as if it could easily continue, recycling itself into eternity."[202] Similarly, the ending of Schnittke's movement harks back to the origin of Row 2 in the opening. By sourcing the hexachordal content from Berg's *Der Wein* tone row and creating, as did Berg for *Der Wein*, an allusion to cyclic form at the end, Schnittke shows the influence from Berg's piece on both the formal and organic levels. Schnittke could have drawn inspiration from any of Berg's music if it were a mere quotation or motif that he sought. But *Der Wein* is one of those pieces that possesses an ending suggestive of *da capo*, an inherent cyclicity. More importantly, this inherent cyclicity is one of the defining features of permutation fugues, a form favored by Bach in his vocal fugues. It is therefore upon this common characteristic that Schnittke devises a structural adaptation of conventional forms that accommodates the simultaneous deployment of two diverse musical styles.[203]

5.2.1.3 Third Movement—Pesante

The third movement makes use of eight of the nine rows from the second movement and introduces five new ones (see Figure 5-14).

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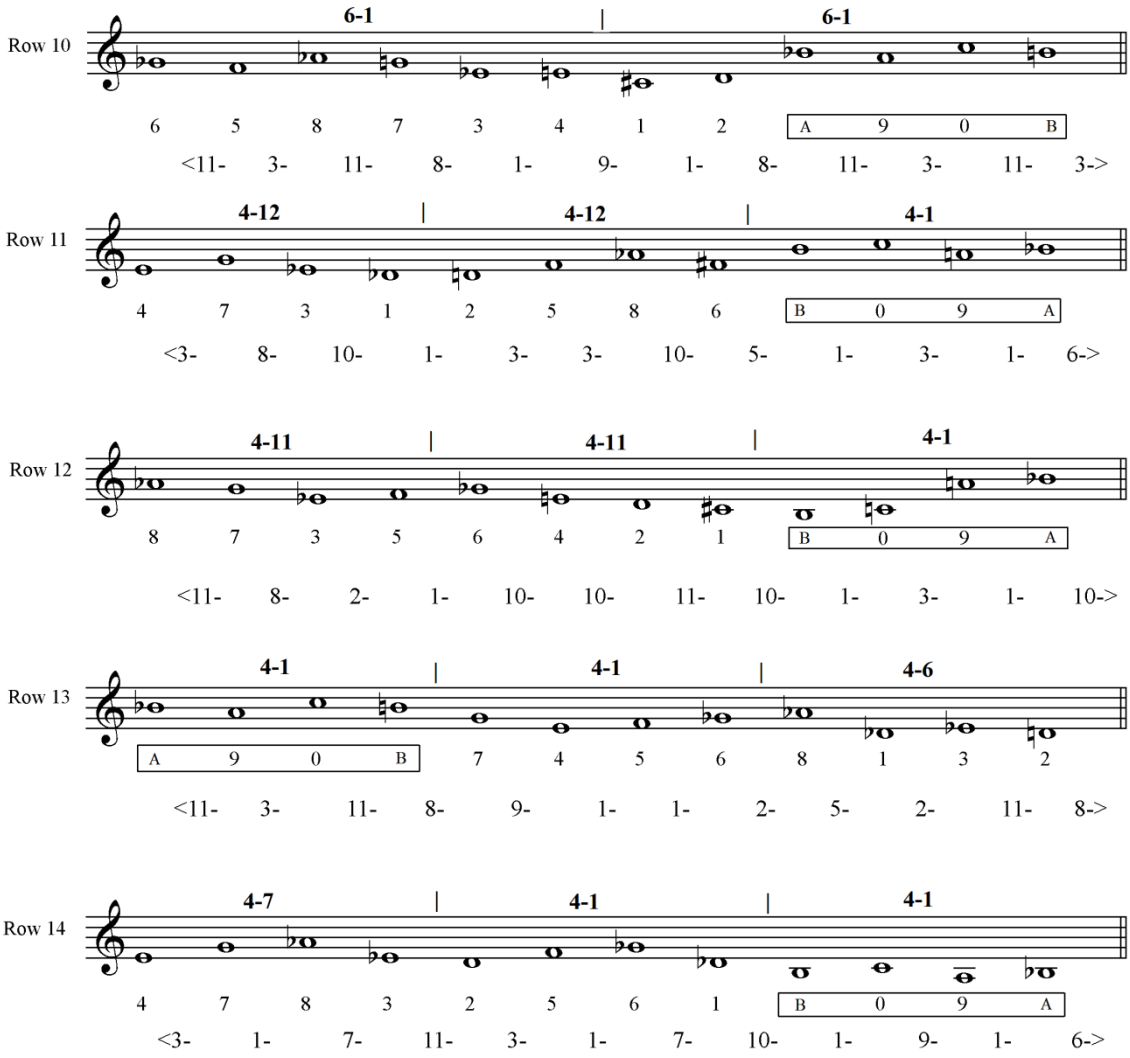
[202]Morgan, "The Eternal Return Retrograde and Circular Form in Berg," 145.

[203]See Martha Hyde, "Neoclassic and Anachronistic Impulses in Twentieth-Century Music," *Music Theory Spectrum* 18/2 (1996): 200-35 for a discussion of different neoclassic strategies found in twentieth-century music.

Figure 5-14. Five tone rows introduced in the third movement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4-1
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<3- 8- 10- 1- 3- 3- 10- 5- 1- 3- 1- 6->
Row 12
4-11
4-11
4-1
8 7 3 5 6 4 2 1 B 0 9 A
<11- 8- 2- 1- 10- 10- 11- 10- 1- 3- 1- 10->
Row 13
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4-6
A 9 0 B 7 4 5 6 8 1 3 2
<11- 3- 11- 8- 9- 1- 1- 2- 5- 2- 11- 8->
Row 14
4-7
4-1
4-1
4 7 8 3 2 5 6 1 B 0 9 A
<3- 1- 7- 11- 3- 1- 7- 10- 1- 9- 1- 6->
Row 15
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4-1
4-1
8 7 3 5 6 4 2 1 B 0 9 A
<11- 8- 2- 1- 10- 10- 11- 10- 1- 3- 1- 10->
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4-1
4-1
4-6
A 9 0 B 7 4 5 6 8 1 3 2
<11- 3- 11- 8- 9- 1- 1- 2- 5- 2- 11- 8->
Row 17
4-7
4-1
4-1
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<3- 1- 7- 11- 3- 1- 7- 10- 1- 9- 1- 6->
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6-1
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<11- 3- 11- 8- 1- 9- 1- 8- 11- 3- 11- 3->
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4-12
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4-11
4-1
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4-1
4-6
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<11- 3- 11- 8- 9- 1- 1- 2- 5- 2- 11- 8->
Row 22
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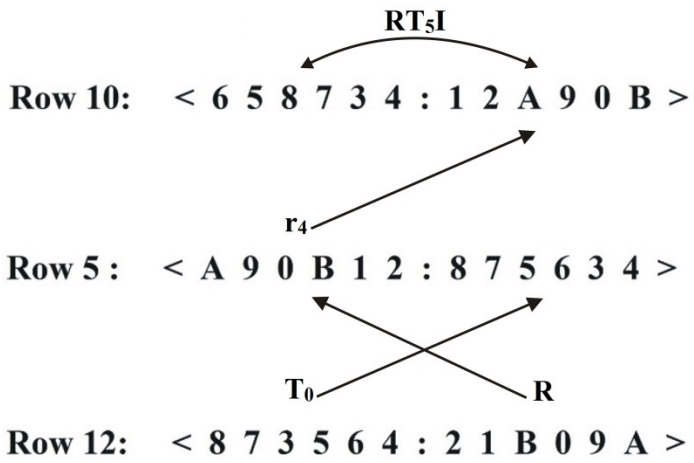
form . . .—is embodied in all the different sets employed in the opera."[204] Further, all of the five new rows are derived from Row 1 <B40397A82516>, Row 5 <A90B12875634>, or a combination of both.

Like Row 5, both Row 10 <65873412A90B> and Row 12 <87356421B09A> are made up of two instances of 6-1. Row 10 shares with Row 1 the property of inversional combinatoriality. Moreover, both rows' (Row 10 and Row 1) ordered Hexachord As map onto their respective ordered Hexachord Bs under RT_5I. As Figure 5-15 shows, Row 10's Hexachord B <12A90B> is a cyclic permutation (r_4) of Row 5's Hexachord A <A90B12>. Further, Row 12's Hexachord B is the retrograde of Row 5's Hexachord A, and the rows' remaining constituent hexachords are equivalent. All three rows are thus combinatorially related.

Figure 5-15. Interconnections among Rows 5, 10, and 12, the three rows that are composed of the hexachord 6-1

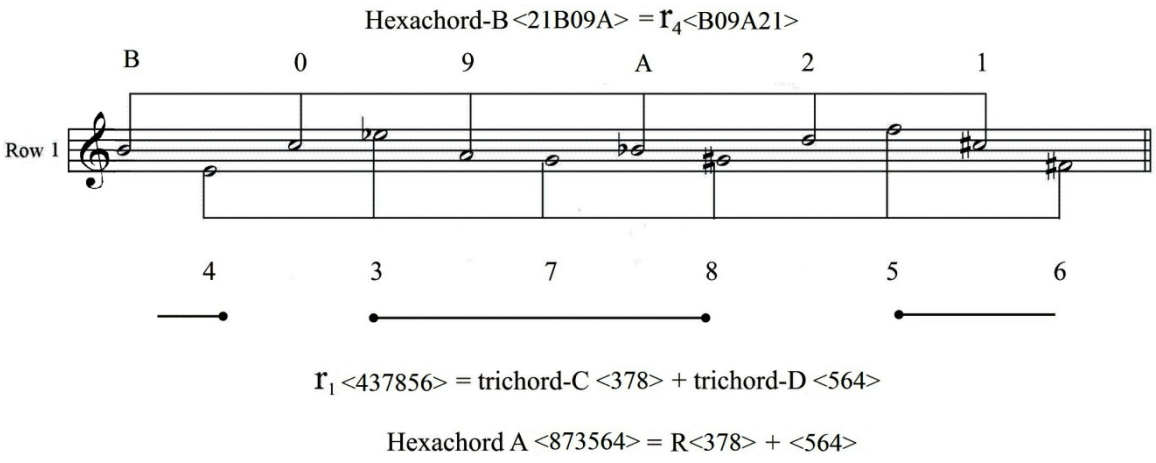


Alternatively, Row 12 can be conceived of as deriving from Row 1's interwoven hexachords (see Figure 5-16). Row 12's Hexachord B originates from stringing together

[204]Jarman, "Alban Berg: The Origins of a Method": 273.

every other pitch member from Row 1 to form a six-note sequence and have it rotated by r_4. The other half of Row 12 is derived from the remaining pitches in Row 1, <437856>. By rotating this ordered set once and partitioning it into two trichords returns trichord-C, 3-11<378> and trichord-D, 3-11<564>. Then, by joining the retrograde of trichord-C to trichord-D yields Row 12's Hexachord A. The derivation of Row 12 just described may appear convoluted. Yet, Headlam's description of a very similar derivation process used by Berg in *Der Wein* suggests a parallelism between Berg and Schnittke's compositional processes.[205]

Figure 5-16. An alternative derivation of the third movement's Row 12 involving Row 1

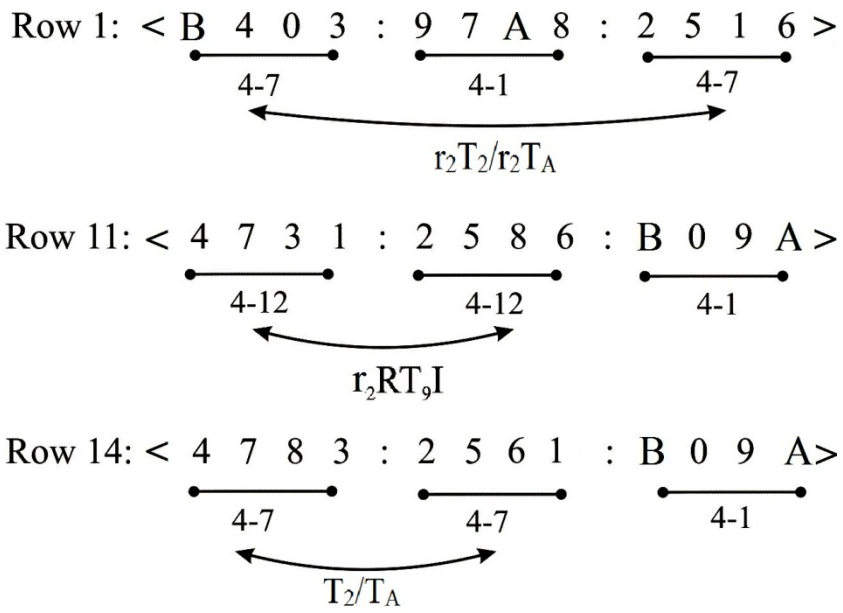


Partitioning Row 1 from the second movement into three consecutive tetrachords yields the ordered pitch-class sets 4-7<B403>, 4-1<97A8>, and 4-7<2516> (see Figure 5-17). The two 4-7 tetrachords can be mapped onto each other through either r_2T_2 or r_2T_A. Row 11<47312586B09A> which first appears in the third movement possesses a similar construction: by combining pitch-class sets 4-12<4731>, 4-12<2586>, and 4-1<B09A>.

[205]Headlam describes Berg's derivation process thus: "by extracting every other note from a retrograde row, and partitioning out and rotating the hexachords." See Headlam, "Berg's *Der Wein*": 273.

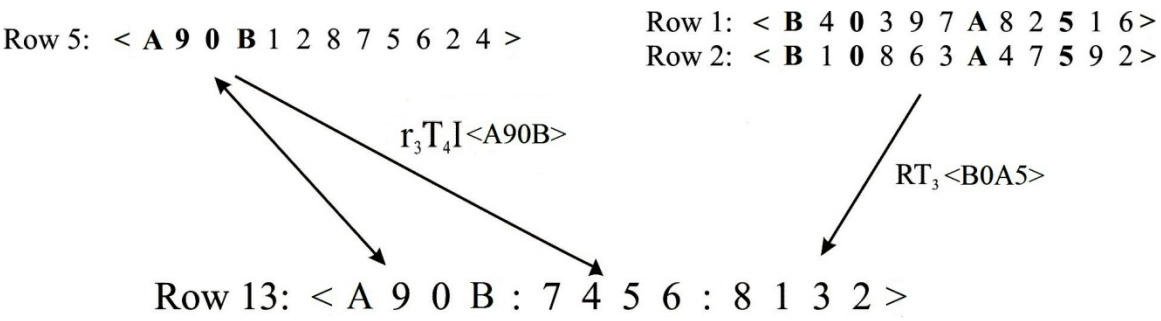
The literal complementary set to pitch-class set 4-1<B09A> is made up of two tetrachords, both belonging to set-class 4-12, that can be mapped onto one another through r_2RT_9I. Row 14 <47832561B09A> is the last of the new rows that share this construction. The complementary set to its 4-1<B09A> consists of two instances of 4-7 (<4783> and <2561>), which map onto each other through either T_2 or T_A.

Figure 5-17. Similar composition of Rows 1, 11, and 14 from the third movement



Lastly, Row 13<A90B74568132> is made up of the B-A-C-H motif <A90B> from Row 5, the 4-1 tetrachord r_3T_4I <A90B>, and the 4-6 tetrachord RT_3<B0A5> drawn from the ordinal-pitch invariant set between Rows 1 & 2 (Figure 5-18). Also, Row 13 relates to Row 10 through their (unordered) all-combinatorial tetrachord constitution.

Figure 5-18. Derivation of Row 13 from the third movement



While the second movement sees the introduction of thematic tone rows, it is in the third movement that these thematic materials are elaborated and developed into new tone rows. The third movement's function can thus be likened to the conventional development section of sonata form. It develops material from the exposition (second movement) and prepares for the return of significant ideas in the recapitulation (fourth movement).

In terms of the third movement's formal design, the alternation between the *ripieno* and the *concertino* sections stands out (See Table 5-4).

Table 5-4. Third movement's formal structure

	Rehearsal/ Measure No.	mm.1-5	1 mm.6 -11	2 mm.12-19	3 mm. 20-25	4 mm. 26-29	5 mm. 30-37	6 mm. 38-41
Concertino	Solo Violin I			**Row 10*** mm.12-19			**Row 11** mm. 30-37	
	Solo Violin II			Row 1-retrograde mm.12-20			Row 7-retrograde mm. 30-37	
	Campane							
	Cembalo		Rows 1 & 2 mm. 6 -13			Rows 7 & 8 mm. 26-31		
Ripieno	Violin I	Row 5 mm. 1-7			Row 1 mm. 20-25			Row 7 mm. 38-41
	Violin II							Row 5 mm.38-41
	Viola							
	Cello							
	Double Bass							Row 7 mm.38-41
	*Row number in bold signifies the first statement of the row.							

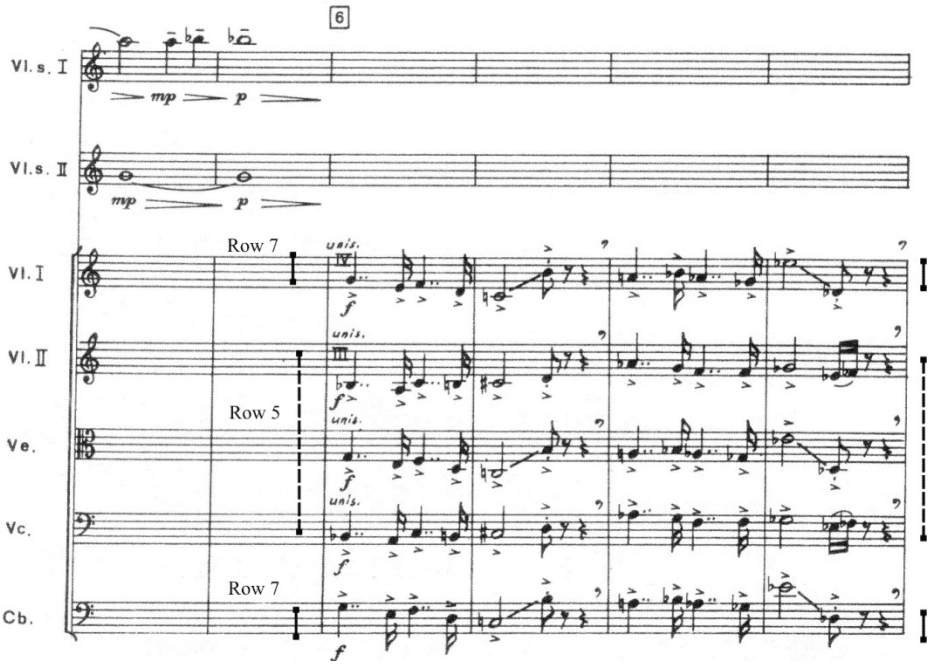
Table 5-4 (continued). Third movement's formal structure

	Rehearsal/ Measure No.	7 mm. 42-49	8 mm.50-53	9 mm.54-60	10 mm. 61-67	11 mm. 68-79	12 mm. 80-88
Concertino	Solo Violin I	Row 3 mm. 42-44; **Row 12** mm. 44-46; Row 12 retrograde mm.46-48			Row 5 mm. 61-63; Row 11 mm.64-67	Row 12 retrograde mm. 67-71; Row 3 retrograde mm.71-79	Row 3 mm. 80-88
	Solo Violin II	Row 12 mm. 43-5; Row 3 mm.45-6; Row 3 retrograde mm. 47-49			Row 5 retrograde mm. 61-64; **Row 13** mm. 64-68	Row 3 retrograde mm. 68-71; Row 7 mm. 71-74; Row 5 segment mm.74-88	
	Campane						
	Cembalo	Row 3 mm.42-43; Row 10 segment m.49	Rows 3 & 4 mm. 50-53				Row 7 segment mm. 80-88
Ripieno	Violin I			Row 9 mm. 54-60			
	Violin II				VII.4 Row 1 mm.63-75; VII.3 Row 9 retrograde mm. 65-73; VII.2 Row 13 retrograde mm. 66-72		
	Viola				V.1 Row 5 mm. 62-75; V.2 Row 9 mm. 62-70 V.3 Row 12 mm. 64-68; 72-73		
	Cello				C.1 Row 3 mm. 65-75; C.2 Row 10 mm.67-74		
	Double Bass						

At first glance, with its solo instrumental group engaging in extensive alternation with the *ripieno* (*tutti)* section, the third movement seems to have the mark of *ritornello* form. However, for it to qualify and function as such there should be clear boundaries between the solo and the *tutti* parts. That is, definite entries and exits on both parts facilitate the forming of well-demarcated solo periods, the material of which has primary importance. The full ensemble *ripieno* repeats some subordinate material every time it enters giving the form its repetitive characteristic from which the name *ritornello* (return) is derived. By constant repetition of the same material, the *tutti* section plays the supportive role in this form. But from the formal structure of the movement shown in Table 5-4, it is apparent that the boundaries between solo and *tutti* sections are for the most part overlapped and obscured.

Furthermore, any allusion to *ritornello* form gradually ebbs by the time the solo section makes its second entrance at rehearsal 4. Instead of giving way to the solo section at its entrance, the *tutti* section continues on and plays the aggregate, dividing the sonority amongst the different instrumental parts. The *ripieno* section continues to lose its *ritornello* character when it makes its third entrance at rehearsal 6. Though the entire section plays in homorhythm, the first violins and the double bass play Row 7 while the middle strings play Row 5 (Figure 5-19). Theoretically, the *tutti* section ceases to exist from this point forth.

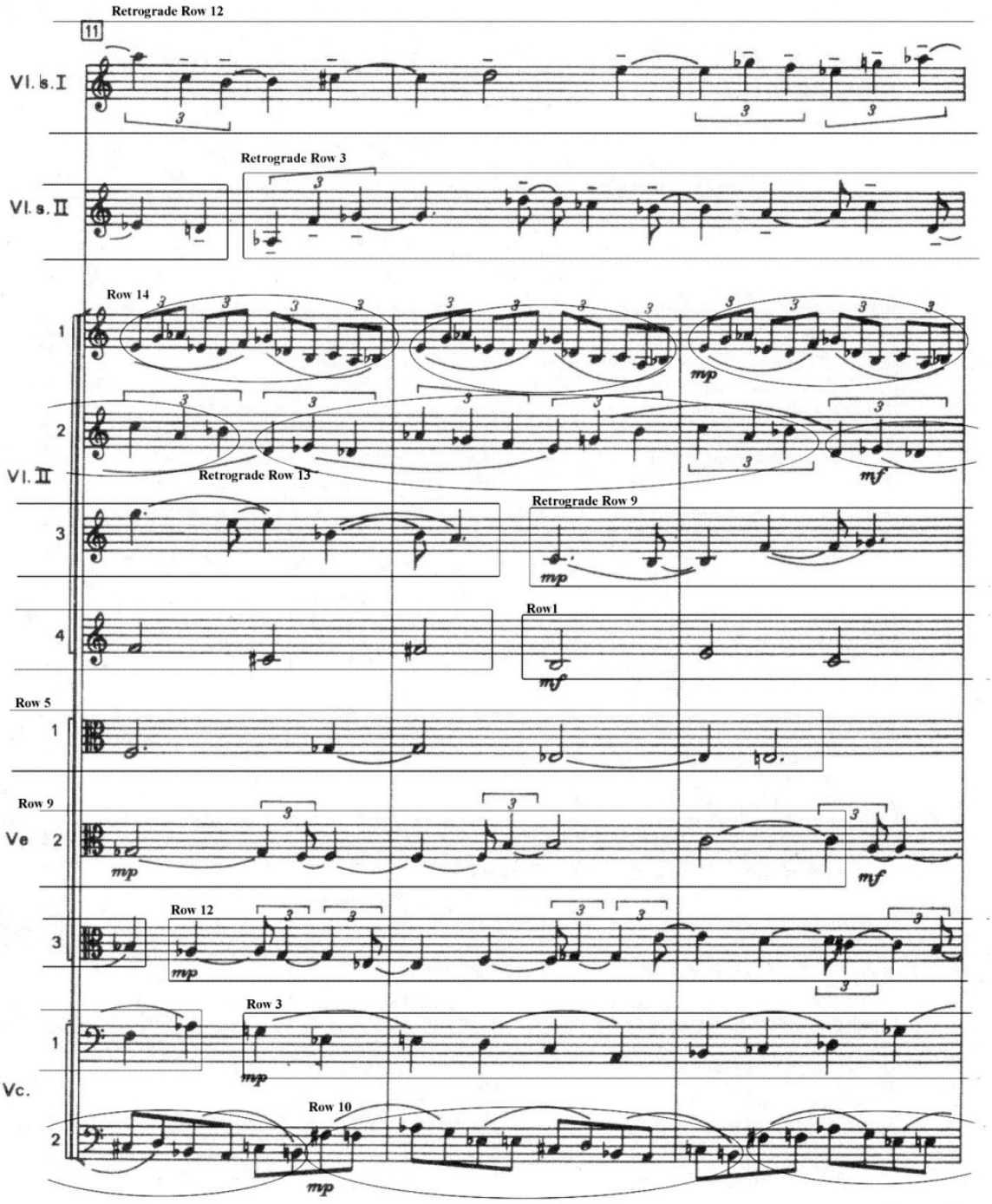
Figure 5-19. End of *tutti* section at rehearsal 6 of the third movement



By rehearsal 10, all the instruments become entirely independent from each other in terms of thematic matter and their articulation, rendering the music polyphonic. Different rhythmic patterns assigned to the instruments in the *ripieno* further emphasize this independence. Figure 5-20 shows that within each of the thematic rows, the note value given to constituent pitches is fixed. However, this fixed note value varies across tone rows. For example, for violin 1 in the second violin group (Vl. II. 1), each note in the tone row has a triplet eighth-note value. For violin 2 in the second violin group (Vl. II. 2), it is of a triplet quarter-note value. And for violin 3 in the group (Vl. II. 3), it is a dotted-quarter note. It can also be gleaned from Figure 5-20 that at rehearsal 11, both viola 2 (Ve. 2) and violin 3 in the second group (Vl. II. 3) articulate Row 9. While the former instrument finishes the prime form of Row 9 in dotted-half notes, the latter begins

the retrograde form of Row 9 in dotted-quarter notes. The rhythmic assignment therefore bears no relation to the rows and is instrument-related.

Figure 5-20. Excerpt from third movement's rehearsal 11 showing various fixed note values used in different instrumental parts

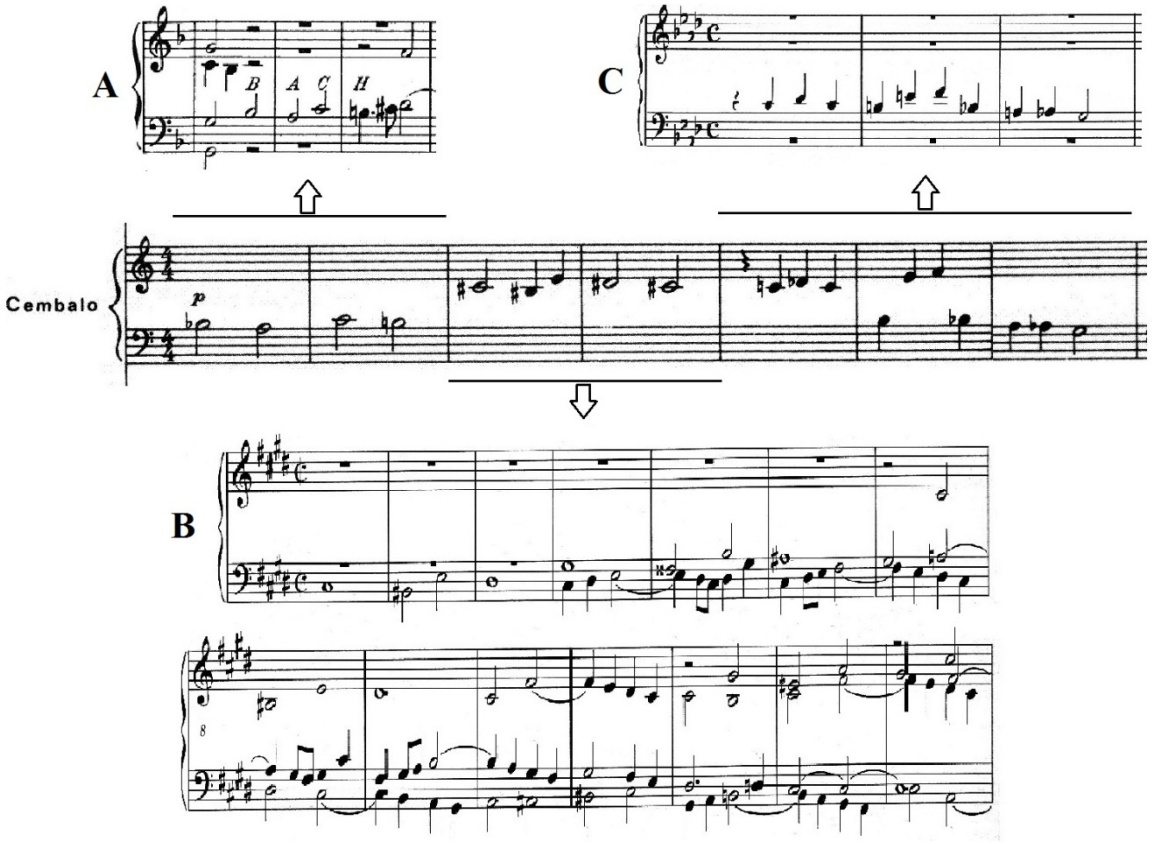


Beginning with the violin part (Vl. II 2) in the middle of rehearsal 11 (m. 72), the harmony dissolves instrument by instrument into D major as the music moves seamlessly (*attacca*) onto the fourth movement, which begins with the pitch D in the solo violins.

5.2.1.4 Fourth Movement

The fourth movement opens with both solo violin parts sustaining the pitch D (the tonal orientation suggested by the first movement) and the cembalo playing a melodic concatenation of the B-A-C-H motif from the unfinished Fugue XV of Bach's *The Art of Fugue* and subjects from Bach's *Well-Tempered Clavier* Book I Fugues No. 4 (BWV 849/2) and No. 12 (BWV857/2) (Figure 5-21). This is the first instance in the work where Schnittke incorporates verbatim quotations into the music. However, this melodic line does not possess much structural significance. Its function is merely transitional. Its stepwise motion, imitated and developed further in the first and second solo violin groups, eventually leads to the smooth return of Row 5 <A90B12875634> , two measures before rehearsal 3.

Figure 5-21. Direct quotations in the opening of the fourth movement. Passage A from unfinished Fugue XV from Bach's *The Art of Fugue*; passage B from Bach's *WTC* Book I Fugue No. 4; passage C from Bach's *WTC* Book I Fugue No.12

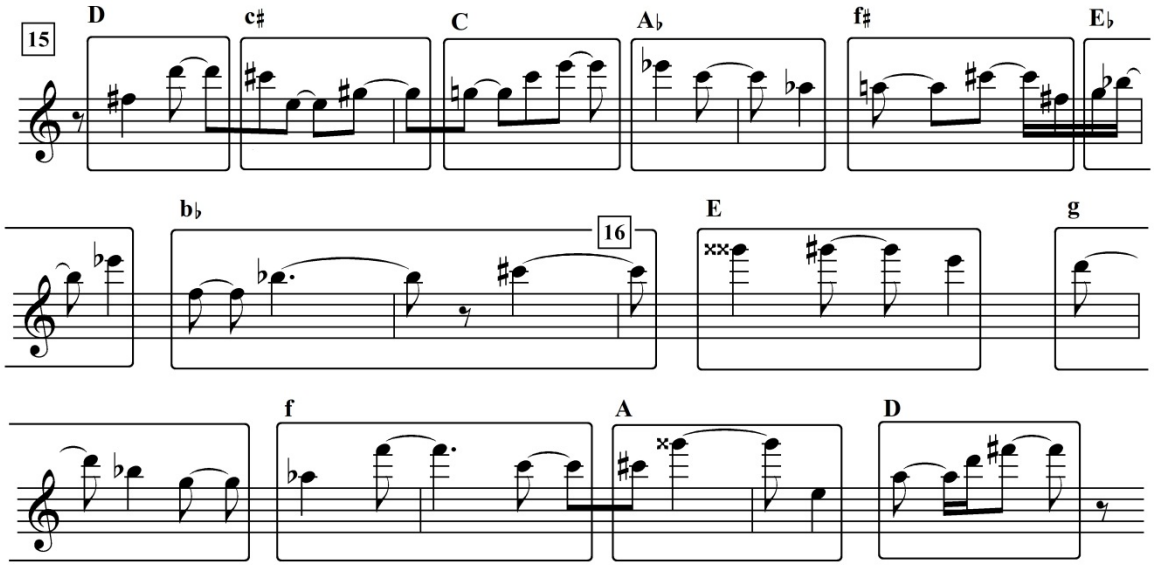


In fact, the subjects from Bach's Fugues No.4 and No.12 (WTC Book I) may have been chosen as quotations because of their conjunct melodic contour. This conjecture is substantiated by the fact that instead of using the first statement of the subject from Fugue No. 4, Schnittke has chosen to quote the answer of the third voice in this five-voice fugue, perhaps in order to achieve registral smoothness and maintain the stepwise motion in the joining of the subject material. Furthermore, the imitative material in the two solo violins (beginning at two measures before rehearsal 3 for Vl. I and echoed in rehearsal 3 in Vl. II) is derived from this minor-second motion that characterizes all three quotations.

The fourth movement carries with it a strong presence of the Baroque. In addition to the melodic introduction being essentially carved out of Bach's work, the accompaniment makes abundant use of motivic imitative devices, consonant intervals of thirds and tenths, and consonant triads that are all reminiscent of tonal music.

Except for rehearsals 15 and 16, the solo violins recapitulate various thematic rows from the second and third movements throughout. The material in rehearsals 15 and 16 (Figure 5-22) is non-thematic in the sense that it is not derived motivically or structurally from any of the aforementioned tone rows. Instead, it is made up of a series of broken triads (forms of set-class 3-11) arranged in such a way that each note is connected to its neighbors by stepwise motion. That is, a minimal motion of either a semitone or a whole tone.

Figure 5-22. Rehearsals 15 and 16 from the fourth movement showing efficient stepwise voice leading among implied triads in the solo violin I part



The triadic transformation figured here differs from neo-Riemannian transformations in that Schnittke does not make use of common-tone preservation. The pattern of stepwise motion breaks down when the second last triad in the melody, A major, moves onto the ending triad in D major. Considering that, if desired, the breach is entirely avoidable, the irregular motion at the end is undoubtedly intended for accentuating the closing key, D major, the presence of which harks back to the opening triad of the melody and resonates with the opening pitch D of the movement. Before reaching the melodic section at rehearsal 15, the solo violins articulate nothing but thematic twelve-tone rows one after the other. The sudden changeover to the consonant melody composed of a sequence of triads flushes out rich tonal associations.

The reference to Bach and the Baroque becomes poignant at the close of the movement. The solo violins lead from D major (last measure of rehearsal 16) onto four orchestral recitative-like episodes (rehearsals 17-19). For each episode, the *ripieno* section sustains the aggregate as the solo violins play *senza metrum* the Bach row (Row 5 <A90B12875634>) and the *campane* and cembalo play the B-A-C-H motif. The *campane* articulates the B-A-C-H monogram by playing the four pitches sequentially, one in each of the four episodes, as the entire movement draws to a close with an E-F♯ wedge in the solo violins pointing towards F.

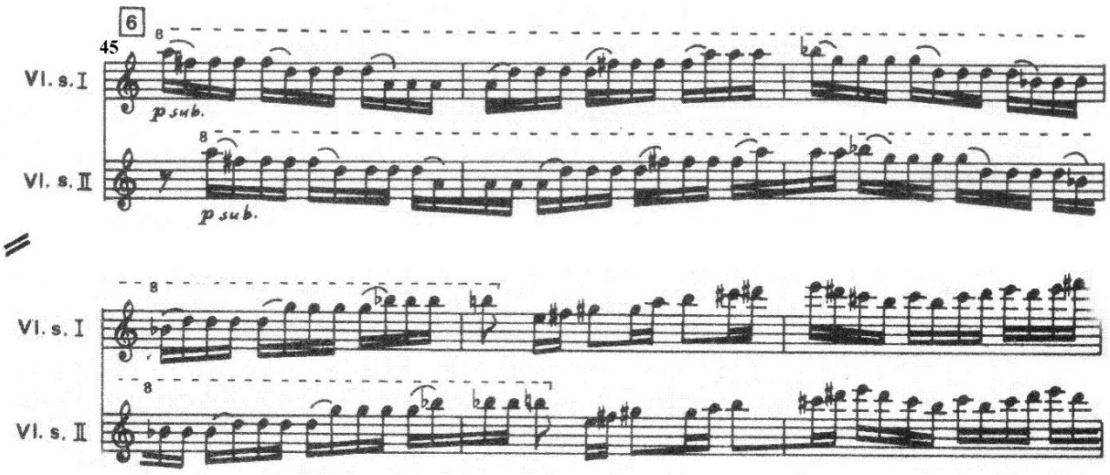
5.2.1.5 Fifth Movement—Moderato

The conclusion to the *concerto grosso* begins with the same tone row pair that opens the second movement: Row 1<B40397A82516> and Row 2<B10863A47592>. This time, however, it appears in the *ripieno* instead of the *concertino*. Throughout the

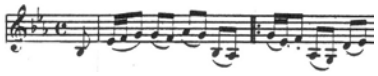
entire fifth movement, each instrumental part in the *ripieno* has its own designated consonant triad, which it prolongs for the entire duration of the movement in arpeggiated figurations. The harmony that the *ripieno* section sustains collectively is a verticalized form of Row 2 that grows out of the opening sonority, the verticalized form of Row 1. In the *concertino*, Schnittke engages a compositional device commonly found in Bach's chorale preludes: an *obbligato melody* set against a *ritornello*. Rows 3<734209AB1658> and 4<034B59A71628> appear as the *obbligato melody* with a regular 8-measure phrase structure that recurs in the cembalo part in a rondo-manner for the entire duration of the movement.[206] The cembalo couples with the solo violins in restating all the tone rows from the second movement, reaffirming the themes' overall definitive status in the work.

After the restatement of the tone rows, the solo violins bring back the scalar and triadic motifs from the first movement at rehearsal 6 (compare Figures 5-1, 5-2, and 5-23).

Figure 5-23. Return of introductory material from the first movement in rehearsal 6 of the fifth movement



[206] A well-known example of a chorale with an obbligato melody used in a ritornello manner is Bach's setting of *Wachet auf, ruft uns die Stimme* (BWV 645). The obbligato melody is shown here:



Like a true coda, this final movement brings back thematic material from the exposition and reasserts the harmonic ending of the recapitulation. In fact, the fifth movement bears the weight of the concerto grosso by providing closure to the piece. What is hinted by the wedge at the end of the recapitulative fourth movement is reified by the F major sonority at the end of the fifth movement. The arrival of the F major chord functions as a closure in spirit rather than a harmonic resolution in form. That is, it reinforces the harmonic closing of the recapitulation, but its tonal centricity, or lack thereof, does not correspond to that espoused by the introduction (G minor) nor does it resolve the tonal tension created by a development section that gravitates towards D major. The traditional harmonic exposition-coda tonal connection is replaced by the thematic return of triadic motifs first featured in the tonal section of the introduction (first movement).

5.3 Summary Observations

Structural and stylistic features of Bach, Berg, the Baroque, tonality, atonality, twelve-tone music, and strict polyphony permeate the entire Concerto Grosso. Yet, instead of conveying an impression of a motley collection of historical, stylistic gestures, this polystylistic work exhibits powerful structural coherence and consistency on both the micro and macro levels. Structural coherence and consistency are achieved essentially by the adoption of cyclic form. By threading thematic twelve-tone rows through the various movements, Schnittke creates a common denominator within the pervasive musical diversity. The foregoing analysis also reveals the ways in which Schnittke employs polystylistic devices of quotation, allusion, and adaptation to fabricate a musical space that is flexible in style, liberal in manner, objective in expression, and wide in scope.

Schnittke believes the polystylistic method has the merit of creating a "democratization of style." [207] As such, polystylism is deemed to be most appropriate for the expression of pluralism and polyphony in the postmodern era. Also, the connection of musical styles from different ages overcomes time-space limitations. As the analysis of the present concerto illustrates, Schnittke converges the Baroque and the twentieth century into one musical space that enables the expression of transcendental narratological themes. Schnittke writes:

> [The polystylistic method] creates new possibilities for the musical dramatization of "eternal" questions—of war and peace, life and death. . . . [It] emphasizes the relevance to all times of the basic theme of the work. . . . it is precisely the multiplicity of styles used in the music that make the situations depicted . . . characteristic of times other than when they actually took place.[208]

It is thus in the expanded musical time-space of the Concerto Grosso No. 3 that Schnittke made possible the simultaneous celebration of two master composers: Bach and Berg.

[207] Schnittke, "Polystylistic Tendencies in Modern Music," 90.
[208] Ibid.

CHAPTER 6

IRONY, PARALOGY, AND CARNIVALIZATION IN SCHNITTKE'S CONCERTO FOR THREE

Instead of focusing on the establishment of an *a posteriori* contextual justification for the essence of postmodern and polystylistic music, the present analytical chapter accepts these features that typify postmodern arts as *a priori* facts, and veers toward the investigation of the epistemological rationale behind the postmodern form of expression. In particular, we will focus on three favored devices: irony, paralogy, and carnivalization.

6.1 Introduction to Irony, Paralogy, and Carnivalization

Irony, listed by Hassan as one of the postmodern characteristics, has been described since the time of Socrates as a rhetorical and literary device. It refers to a means of representation where the speaker or text expresses what is contrary to the intended content of the message as a form of mockery and sarcasm. Post-structuralist postmodernism as portrayed by Lyotard and Hassan is pluralistic, skeptical of totalizing theories, indeterminate, and anti-representational, and often displays irony.[209] Alan

[209]As described by Hassan and Lyotard, postmodernism belongs to what is called the post-structuralist stage of development of the 1980s. Post-structuralist postmodernism consists of two phases: first, the deconstructionist phase, which extended from the late-1970s to the early 1980s, was under the influence of Roland Barthes and Jacques Derrida and focused on anti-foundationalist notions of language and representation. Second, the late post-structuralist phase, which extended from the 1980s onwards, was under the heavy influence of Michel Foucault and focused on the interplay between power and knowledge, and otherness. It effects association with the study of feminism and multiculturalism and influences the course of culture and humanities. See Bertens, *The Idea of the Postmodern*, 4-8.

Wilde defines irony as a "characteristic response to the polysemic world."[210] Likewise, Hassan sees irony as a natural response of our mind to plurality as he writes: "In absence of a cardinal principle or paradigm, we turn to play, interplay, dialogue, polylogue, allegory, self-reflection—in short, to irony. . . . Irony, perspectivism, reflexiveness: these express the ineluctable recreations of mind in search of a truth that continually eludes it, leaving it with only an ironic access or excess of self-consciousness."[211]

To understand why irony becomes a natural recourse of expression in the face of plurality, we have to appreciate the interrelationships of power, representation, and pluralism's rejection of autocratic ideologies.

Lyotard's skepticism of metanarratives and of consensus, and his concept of legitimization of knowledge, are intimately tied to French philosopher Michel Foucault's theory of connection among power, knowledge, and discourse. In *The Postmodern Condition: A Report on Knowledge* (1979), Lyotard postulates that knowledge is no longer a neutral entity, but has become a coveted commodity in the international information war where the one that holds the reins of information holds the reins of the system. To Lyotard, therefore, knowledge equals power.[212] Further, Lyotard points out that all systems and administrative procedures wield consensus as a weapon to maintain harmony and conformity while they reach for their ulterior goal of domination.[213]

Foucault accounts for a similar relationship between knowledge and power as he writes:

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[210]Alan Wilde, "Barthelme Unfair to Kierkegaard: Some Thoughts on Modern and Postmodern Irony," *boundary 2 5/1* (1976): 46.
[211]Hassan, "Pluralism":506.
[212]Lyotard, *The Postmodern Condition*, 5.
[213]Ibid., 60-1.

> The exercise of power perpetually creates knowledge and, conversely, knowledge constantly induces effects of power. . . . Knowledge and power are integrated with one another, and there is no point in dreaming of a time when knowledge will cease to depend on power; . . . It is not possible for power to be exercised without knowledge, it is impossible for knowledge not to engender power.[214]

From Foucault's historicist perspective, the "ideas of truth, knowledge, and rationality, and all other canonical or authorizing principles, are products of social and cultural developments."[215] Foucault believes that his theory of rationality represents but one in many branches and ramifications in the history of rationality.[216] Antithetical to Foucault's continental conception of rationality is analytic philosophy, the North-American ahistorical rationality that claims to uphold a transcending objective standard and truth.[217]

In post-structuralist postmodernism, it is the unseverable connection between knowledge and power, and the pertinacious opposition to unity and hegemony as represented by systemic rules and principles, transcendental truth and rationality that lead to its preoccupation with *anti-representation*. Postmodern artists see representations as demonstrations of authoritarian power and conclusive statements of truth. Yet, they

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[214]Michel Foucault, *Power/Knowledge: Selected Interviews and Other Writings 1972-1977*, edited by Colin Gordon, translated by Colin Gordon, Leo Marshall, John Mepham, Kate Soper (New York: Pantheon Books, 1980), 52.

[215]C. G. Prado, *Starting with Foucault: An Introduction to Geneaolgy* (Oxford: Westview Press, 2000), 18.

[216]Michel Foucault, *Politics, Philosophy, Culture: Interviews and Other Writings* 1977-1984, edited by Lawrence D. Kritzman, translated by Alan Sheridan (London: Routledge, 1988), 27-9.

[217]Prado, *Starting with Foucault*, 18-20.
Analytic philosophy is an extension of the philosophy of *logical positivism* espoused by philosophers like Ludwig Wittgenstein, Moritz Schlick, Rudolf Carnap, and Hans Reichenbach in Europe in the 1920-30s. Two branches of music theory from the early decades of the twentieth century can be associated with logical positivism's systematic and logical principles: Schoenberg's twelve-tone theory and Schenker's theory. Logical positivism attracted European composers and theorists, such as Pierre Boulez, Karlheinz Stockhausen, and György Ligeti, who were exploring a scientific and systematic approach to music. In North America, logical positivism and its affiliated theory, analytic philosophy, found their strongest advocate in Milton Babbitt. Babbitt developed his school of objective and determinable musical discourse by integrating theoretical ideas of analytic philosophy with philosophies of Rudolf Carnap and W. V. O. Quine. See Judy Lochhead, "Music Theory and Philosophy," in *The Routledge Companion to Philosophy and Music*, edited by Theodore Gracyk and Andrew Kania (London: Routledge, 2011), 506-16. See also Tiger C. Roholt, "Continental Philosophy and Music," in *The Routledge Companion to Philosophy and Music*, 284-93 and Stephen Davies, "Analytic Philosophy and Music," in *The Routledge Companion to Philosophy and Music*, 294-304.

neither believe in absolute power nor in the embodiment of the *unpresentable* (i.e., the whole truth). It is for their fear that the adoption of any such ill-conceived representations would contradict their belief in pluralism and the system's unfinalizability that postmodern artists often inject elements of paralogy and misrepresentation into their work. That is, they engage irony by negating, distorting, and exaggerating to offset the unilaterality of the discourse and to perpetuate a dialogic exchange. Hassan describes anti-representation as "irrealist, aniconic. . . . [It] subverts itself . . . . contesting the modes of its own representation" and deems this *unpresentable*, *unrepresentable* property as one of the characteristics of postmodernism.[218]

Paralogy, a concept introduced by Lyotard, describes the means by which a postmodern system of knowledge is challenged, developed, and legitimized.[219] Lyotard proposes the legitimization of knowledge by paralogy for two reasons. First, he considers the validation of knowledge based on consensus flawed because universal consensus remains an unattainable ideal.[220] Lyotard believes traditional systems are engineered to maximize performance, and rules and regulations are established accordingly to stabilize the systems and increase their efficiency. Disturbances including those from individual dissension are usually ignored or silenced by forced compliance for the greater good of system stability. Second, Lyotard regards consensus as no more than a temporary state in discourse and objects to Habermas's *Diskurs*, which holds it as the goal of dialogue. For Lyotard, the goal of dialogue rests in paralogy.[221]

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[218]Hassan, "Pluralism":506.
[219]Lyotard, *The Postmodern Condition*, 60-7.
[220]Ibid., 61.
[221]Ibid., 65-6.

According to Lyotard, the process of paralogy destabilizes a system by identifying the system's prescriptive rules and seeks to replace these *metaprescriptive utterances* with new temporary rules that are agreed upon by all parties concerned.[222] The new paradigm remains in effect only so long as it is the consensus of all participants within that limited space and will be replaced by a new contract as soon as there is consensual or constitutional change in the system. The purpose of paralogy is therefore not to find the ultimate set of principles for a system, but to encourage the consideration and acceptance of aberrations and diversities in its generation of new rules to suit a system that is indeterminate and continually evolving. Lyotard sees the eventual expiration of all new rules as a preventive measure from establishing yet more transcendental metaprescriptive rules. Fredric Jameson summarizes Lyotard's proposition of knowledge legitimization by paralogy thus:

> Postmodern knowledge is not simply a tool of the authorities; it refines our sensitivity to differences and reinforces our ability to tolerate the incommensurable. Its principle is not the expert's homology, but the inventor's paralogy.[223]

While irony subverts the content of the discourse, paralogy challenges the rules of the discursive practice. Lyotard distinguishes between innovation, which focuses on the enhancement of performance, and paralogy, which is concerned with the installation of temporary principles and the pragmatics of knowledge.[224] Likewise, Jean Baudrillard clarifies that ironic subversion encompasses more than mere direct contradiction or annulment and can be created by frustrating heightened expectation:

> There is irony in all extreme processes, in all processes of involution, collapse, inflation, deflation, reversibility. An irony which plays not on negation but on

[222]Ibid., 61, 65.
[223]Ibid., xxv.
[224]Lyotard, *The Postmodern Condition*, 61

> empty positivity, on exponential platitude, to the point where the process turns around of its own accord and rediscovers the splendour of the void.[225]

Ironic mockery and sarcasm come under Bakhtin's notion of *carnivalization*. Bakhtin called the assimilation of the carnival sense of the world in literature the carnivalization of literature.[226] According to Bakhtin, carnivalized literature, or *carnivalesque*, belongs to the broad category of *serio-comic*. While the serious genres are monological, the serio-comic genres are dialogical and they adhere to the character of a pluralistic discourse.[227] Other than the attributes of play, comedy, laughter, and festivity that are commonly associated with the terms "serio-comic" and "carnival," all carnivalized literature shares three characteristics. First, the setting of carnivalized genres is in the present and all references to the past are contemporized. Second, carnivalized genres rely on their own discovery and inspiration instead of devoting themselves to the preservation of traditions. More often than not, their attitude toward conventions is critical and ironic. Third, carnivalized literary genres are marked by their juxtaposition of high and low styles, interpolation of quotations and allusions, and prevalence of pluralism in their discourse.[228] It is through this last property, in particular, that we are reminded of carnivalized literature's close transmedial resemblance to Schnittke's polystylistic music.

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[225]Jean Baudrillard, *The Perfect Crime*, translated by Chris Turner (London: Verso Press, 1996), 70.
[226]Bakhtin, "Carnival and Carnivalesque": 250.
[227]Bakhtin, *Problems of Dostoevsky's Poetics*, 106-110; editor's footnote b.
[228]Bakhtin describes the third property of carnivalized genres as follows: "A third characteristic is the deliberate multi-styled and hetero-voiced nature of all these genres. They reject the stylistic unity (or better, the single-styled nature) of the epic, the tragedy, high rhetoric, the lyric. Characteristic of these genres are a multi-toned narration, the mixing of high and low, serious and comic; they make wide use of inserted genres—letters, found manuscripts, retold dialogues, parodies on the high genres, parodically reinterpreted citations; in some of them we observe a mixing of prosaic and poetic speech, living dialects and jargons (and in the Roman stage, direct bilingualism as well) are introduced, and various authorial masks make their appearance," Ibid., 108.

Hassan perceives carnivalization as applicable not only to postmodern literature, but emblematic of the overall postmodern condition. It is considered one of the properties of postmodernism as Hassan explains in the following:

> The term [carnivalization], of course, is Bakhtin's, and it riotously embraces indeterminacy, fragmentation, decanonization, selflessness, irony, hybridization, . . . But the term also conveys the comic or absurdist ethos of postmodernism, . . . Carnivalization further means "polyphony," the centrifugal power of language, the "gay relativity" of things, perspectivism and performance, participation in the wild disorder of life, the immanence of laughter. . . . Indeed, what Bakhtin calls novel or carnival—that is, antisystem—might stand for postmodernism itself, or at least for its ludic and subversive elements which promise renewal.[229]

The postmodern notions of irony, paralogy, and carnivalization are therefore closely related staples of postmodern music. In the following analysis, I will delineate the manifestation of these subversive devices in Schnittke's Concerto for Three, especially in relation to its genre and instrumentation.

6.2 Concerto for Three (1994)

Exactly three months after the première of Concerto Grosso No.3, Schnittke suffered the first of a series of five strokes. Thus began the last period (1985-98) of his creative life during which time his musical language became increasingly economical yet expressive due to his worsening physical limitations.

On the prompting of Rostropovich, Schnittke proceeded to write the Concerto for Three (*Konzert zu Dritt*) for violin, viola, violoncello, and string orchestra (with piano) for the event of his own sixtieth birthday. Since Rostropovich was the one who commissioned the piece, the original score carries the subtitle "Rostropovich will

[229]Hassan, "Pluralism":507.

provide." [230] Schnittke dedicated the piece to the three musicians, Gidon Kremer, Yuri Bashmet, and Mstislav Rostropovich, who championed his work both at home and abroad.

The concerto can be seen as a musical allegory of a common drinking pattern in Russia wherein for economic or customary reasons a bottle of vodka is shared among three people. This manner of vodka consumption is in fact so commonplace in Russia, where drinking is as much a cultural heritage as it is a social custom, that several colloquial expressions have arisen from it. Examples include *скинуться на троих* (transliteration: *skinut'sya na troikh*) meaning to pitch in as a threesome and сообразить на троих (transliteration: soobrazit' na troikh) meaning to solve the problem (of sharing a bottle of vodka) as a threesome.[231] Just as three people share a bottle of vodka in *скинуться на троих*, the three soloists share the center stage in Schnittke's Концерт *на троих* (transliteration: Kontsert na troikh; Concerto for Three).

Schnittke completed the concerto days before he suffered his third stroke on June 3, 1994, which resulted in a right hemiplegia and a permanent loss of speech.[232] It would appear that Concerto for Three and the accompanying *Minuetto* stand as the last pieces completed by Schnittke during his creative life.[233]

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[230]Schnittke, *A Schnittke Reader*, vii.

[231]Irina H. Corten, *Vocabulary of Soviet Society and Culture: a Selected Guide to Russian Words, Idioms, and Expressions of the Post-Stalin Era, 1953-1991* (Durham: Duke University Press, 1992), 132 and Genevra Gerhart, *The Russian's World: Life and Language* (New York: Harcourt College, 1994), 143.

[232]Valentina Kholopova, *Композитор: Альфред Шнитке* (Composer: Alfred Schnittke) (Chelyabinsk: Arkaim, 2003), 231-2.

[233]Schnittke started writing two other pieces after his third stroke: *Sonatina for Four Hands* (1995) and *Symphony No. 9* (1997-8). It is not certain whether the sonatina was completed at the time of Schnittke's death. See Ivashkin, *Alfred Schnittke*, 214. *Symphony No.9* (1998) counts among one of the unfinished works alongside *Cantata* (1994).

6.2.1 Analysis

Concerto for Three counts as the only Schnittkean concerto employing the string combination, violin, viola, and cello, as solo co-protagonists, and a *ripieno* section calling for a piano in addition to a small string orchestra comprising three first violins, three seconds violins, three violas, three cellos, and one double bass. *Minuetto* (1994), written as an encore to the concerto, employs the same solo instruments as the concerto but it omits the *ripieno* ensemble.

Concertos featuring multiple soloists were first made popular as a genre by Baroque composers like J. S. Bach, Vivaldi, and Telemann. Solo ensembles comprising instruments from string, wind, and brass instrumental groups not only expand the variety of the virtuosic display, but also enhance the timbral contrast and enrich the musical and coloristic texture. For this reason, the collection of triple concertos engaging distinct solo instruments drawn from a single instrumental group remains exiguous in the classical literature. Donald Martino's *Triple Concerto for Clarinet, Bass Clarinet, Contrabass Clarinet and Small Orchestra* (1977) represents possibly the only example of its kind for wind instruments. As for strings, there were only four triple concertos at the time Schnittke penned his Concerto for Three in 1994, namely Julius Röntgen (1855-1932)'s Triple Concerto in B-flat for Violin, Viola, Cello and String Orchestra (1922); his *Konzert a-moll für zwei Violinen, Bratsche, Violoncell und Orchester* (1930); Canadian composer Joel Hoffman's (1953-) *Triple Concerto for Violin, Viola, Cello and Full*

Orchestra (1978); and Michael K. Tippett's *Triple Concerto for Violin, Viola, Cello and Orchestra* (1978-9).[234]

The work's designation as a *concerto* rather than a *sinfonia concertante* or a *concerto grosso* suggests Schnittke's intention to emphasize the soloists' musical cachet by divorcing them from the orchestral body and by differentiating the soloists' musical material from that of the orchestra's. One thus anticipates not only a great display of contrasts between solo and *tutti* playing but also dialogical exchange among the soloists. And herein lies the antinomy: there exists no *tutti* playing or soloistic interplays in the entire concerto. Moreover, the three soloists appear together only in the last movement and engage for merely twenty measures of nondescript and transient *ostinato*. Table 6-1 shows the formal template and instrumentation of each individual movement of Concerto for Three (1994) and *Minuetto*.

[234]Mozart's wrote a 134-bar fragment for violin, viola, cello, and string ensemble entitled *Sinfonia Concertante* (K.320e /K.Anh. 104). Also, Röntgen wrote a four-part piece entitled *Introduction, Fugue, Intermezzo, and Finale for Violin, Viola, Cello, and Orchestra* (1930) for multiple string soloists and orchestra. See http://www.juliusrontgen.nl/ ; Internet, accessed: April 20, 2010.

Table 6-1. The structural layout and instrumentation of Concerto for Three (1994) and *Minuetto*

Musical Work	Movement	Instrumentation	Underlying Structure	Form
Concerto for Three	I. *Moderato*	Solo: cello Orchestral accompaniment: cello, double bass	First Movement	Divertimento[235]
	II. (*Larghetto*)	Solo: viola, Orchestral accompaniment: viola, cello, double bass		
	III. *Largo*	Solo: violin Orchestral accompaniment: violin, viola, cello, double bass		
	IV. (*Allegro*)	Solo: cello, viola, violin Orchestral accompaniment: cello, viola, violin, piano	Second Movement	Scherzo
Minuetto		Solo: Cello, viola, violin		Trio

The instrumentation and tempo marking of Concerto for Three suggest that the first three movements, led by solo cello, viola, and violin respectively, cohere to form a large-scale subdivision in the underlying structure. For the first movement, *Moderato*, Schnittke limits orchestral participation to the cellos and double bass sections while the solo cello represents the protagonist. In the second movement, he adds the viola section

[235] " 'Divertimento' is generally understood, first, to denote a work primarily designed for the entertainment of the listeners and the players, without excluding the possibility of high artistic achievement, . . . The form of the typical divertimento first movement is characteristically galant. . . . and in the structure of its first movement the divertimento may form a historical link between the suite or partita and the sonata; it may also be used at the beginning of a Classical sonata or sinfonia." The divertimento form is also understood as referring to "a group of small movements in sectional forms *deliberately* [emphasis mine] avoiding a polyphonic or argumentative style." See Hubert Unverricht and Cliff Eisen, "Divertimento," in *Grove Music Online. Oxford Music Online*, http://www.oxfordmusiconline.com.proxy1.lib.uwo.ca:2048/subscriber/article/grove/music/07864 ; Internet, accessed: May 9, 2010 and Donald Francis Tovey, *A Companion to Beethoven's Pianoforte Sonatas* (London: Associated Board of the Royal Schools of Music, 1931), 90 respectively.

to the orchestral ensemble when viola replaces cello as the soloist. The violin sections do not join in the orchestral ensemble until the solo violin enters to take over the leading role in the third movement. What unfolds in the first three movements is thus an accretion of orchestral force, from the low to high registers, and the attendant thickening of texture.

The tempo markings Schnittke provides for the first and third movements, *Moderato* and *Largo*, together with the progressive lengthening of note values in the solo parts of each constituent movement point to the broadening of pace as the music develops.[236] While tension builds with the rising of pitch register and thickening of texture, anticipation heightens for the soloists, who hitherto have been playing monodies, to vie with the orchestra and to engage each other.

The last movement, *Allegro*, opens with the music repeating the order of entrance used for the first three movements: cello, viola, and then violin, with each solo instrument accompanied by its corresponding instrumental group from the ensemble. In other words, only the cellos, violas, and violins from the ensemble are utilized and the double bass is excluded. *Tutti* playing is thus precluded from the concerto in any real sense. After the soloists' staggered entrances, the listener's acutely inflated expectation for virtuosic activity and dialogic exchange completely crumbles when each and every instrument involved in this movement engages in *ostinato* until being abruptly cut off by the piano chord in the last measure, which brings an end to both the movement and the concerto.

[236]In the original score, only the first and third movements are provided with tempo markings; the remaining movements are left *a piacere*.

6.3 Summary Observations

The poignant discrepancy between the traditional level and manner of discursive interaction in a triple concerto and that which is evinced in Concerto for Three exemplifies Baudrillard's description of deriving irony from inflation of anticipation and empty positivity. Of course, the *positivity* in this case as in all other cases plays on the listener's knowledge of the system's prescriptive rules. An ironic expression that frustrates the listener's expectation, therefore, also challenges the system by introducing the marginalized and unorthodox as in paralogy.

The part of the piano represents another instance where paralogic otherness is introduced. Strictly speaking, the piano part belongs to the supporting orchestral ensemble. Yet, it is glaringly absent throughout the concerto, failing its supportive role. At the very end of the concerto, when it makes its first appearance under the guise of an insignificant member of the ripieno part, it is pit against the collective force of the soloists and orchestral ensemble, thus revealing its existence to reside outside the realm of the concerto. Metaphorically, the piano part represents the influence of otherness that is foreign to the system but nevertheless rattles its stability. Furthermore, Schnittke injects a carnival sense of absurdity and comic into the piece by replacing a grand finale with a paltry dissonant chord that is incapable of satisfying the expectation of virtuosic display and musical drama, or of dissolving the accumulated textual musical tension.

The significance of the isolated piano chord extends, however, beyond that of a carnivalistic gesture. Structurally, its inordinate presence in the concerto foments the listener's desire for a proper ending and consequently acts as a bridge between the

concerto and the *Minuetto*, a short piece extraneous to the concerto but whose existence nevertheless adds structural meaning and equilibrium to the concerto as a whole.[237]

Philosophically, the implication of the *Minuetto* is twofold. First, Schnittke's decision to segregate such a persuasive and cogent section from the body of the concerto proper illustrates the significance of paralogic otherness in postmodern music. Second, as an encore number, the existence of the *Minuetto* in the performance is not definite but is contingent on the reception of the concerto. Schnittke's arrangement therefore epitomizes the interdependence of the system (the concerto) and the paralogic otherness (the minuet). In this case, the system is reliant upon the ironic otherness to inject new life into it. At the same time, the otherness is dependent upon reification by the system.

As mentioned earlier, when Schnittke was commissioned to write the Concerto for Three, he had already suffered two strokes which seriously impaired his physical and possibly mental agility. We can surmise Schnittke wrote this piece, which is ascetic in context but deep in narratological content, both as a tribute to the three musician-friends that were largely responsible for introducing his music to a worldwide audience and as a reflective swan song that captures his place in the world of music. In our narratological reading, the Soviet Union, the western world, and Schnittke are represented by the concerto proper, the minuet, and the lone dissonant piano chord respectively. The three soloists, representing themselves, are not given the freedom to engage in free dialogical

[237]The balanced structures and triple meters of the fourth movement and the minuet-encore strongly suggest the combination of the two movements to form a large-scale minuet-trio form. The fourth movement, acting as the minuet proper, resembles a scherzo with its faster tempo and unconventional ending. Its lack of a key signature, if interpreted as being in the key of C major, provides it with the traditional modal contrast to the c minor trio counterpart. The minuet-encore, *Minuetto*, functions as the trio and introduces further contrasts with the minuet proper through its mellow character and lighter texture. The G-sonority that closes the minuet-encore represents a gesture of tonal allusion. It further attests to the minuet-trio structure by intimating a traditional practice whereby the trio closes on the dominant harmony, remaining unresolved thus and waiting for the return of the minuet proper to bring an ending in the tonic. Also, it is only in the *Minuetto* that we find the long-awaited interplay among the soloists.

exchange or traditional musical expression in the concerto. Schnittke, whose music has been highly repressed by the Soviet censorship, belongs neither to the controlled Soviet system nor to the western world. Yet, he rises up against totalitarianism and bridges the two worlds whose coexistence not only affords the three soloists freedom in musical expression, but also engenders new life in the development of twentieth-century Soviet music.

CHAPTER 7

CONCLUSIONS

This dissertation set out to investigate the concept of narrativity and its presence in several selected works of Schnittke's. In Chapter 1, we explored the extramusical background that inculcated in Schnittke a preference for the concerto genre and the genre's connection to music narrative. In Chapter 2, we arrived at the philosophical view that narrative is a universal meaning system that organizes our consciousness, and narrativity is a property that narrative possesses. In Chapter 3, we found that the phenomenological aspects of the Double Concerto for Oboe, Harp and String Orchestra work in tandem with immanence—the listeners' individual perception of the world—in bringing about narratological readings of the work that are both personal and diverse. In Chapter 4, we discovered that hidden in the Concerto for Piano and Strings, a work that evinces indeterminacy both formally and contextually, is a simple church music segment that remains unchanged throughout. It reflects the fact that Schnittke's noncommittal attitude toward any universal philosophy and theory also applies to the idea of indeterminacy as well. In Chapter 5, we witnessed the expression of a transcendental narratological theme in the expanded musical time-space of Concerto Grosso No.3 created by polystylism. In Chapter 6, we investigated the postmodern rhetorical devices

of irony, paralogy, and carnivalization and the manner in which they opened up new opportunities for dialogical exchange and development in the Concerto for Three. In this concluding chapter, we will summarize our study and our advocacy of a cognitive narratological approach to postmodern music by way of Maurice Merleau-Ponty's phenomenology of perception.

According to Merleau-Ponty's phenomenological theory, the world is the totality of perceptible things. Each perceptible object is the summation of an infinite number of perspectives, where each perspective is only a partial representation of the object's entirety. As Merleau-Ponty writes, "perception is . . . a reference to a whole which can be grasped, . . . only through certain of its parts and aspects."[238] Merleau-Ponty postulates that each consciousness's perception of the perceptible objects is not only incomplete but also differs from that of other consciousnesses. The true metaphysical being of the perceptible objects, and the differences, are made apparent by intersubjective communication, which confers upon the objects a new dimension perceived. The perceptible object appears *real* to the consciousness that perceives it, but the consciousness's perception of the *true* object is partial and fragmented.[239] By extension, therefore, the world that is perceived by us is *real* to each of us as according to our own phenomenological experience, but our individual perception of the world may not be *true* to another consciousness and it does not represent a universal *true* view of the world. That is, perceived existence does not equate to *ideal* existence. Merleau-Ponty goes on to point out that because of the indefinite nature of our individual phenomenological

[238]Maurice Merleau-Ponty, "The Primacy of Perception and its Philosophical Consequences," in *The Merleau-Ponty Reader*, edited by Ted Toadvine and Leonard Lawlor (Evanston: Northwestern University Press, 2007), 92.
[239]Ibid., 92-4.

experience, there is no universal theory or rule that can assimilate the perceptual synthesis of consciousnesses. In other words, our collective experience of the world cannot be qualified intellectually through objective reasoning or verified scientifically.[240] Merleau-Ponty describes our incomplete and ambiguous perception of the world as follows:

> Where human beings are concerned, rather than merely nature, the unfinished quality to knowledge, which is born of the complexity of its objects, is redoubled by a principle of incompletion. . . . absolutely objective historical knowledge is inconceivable, because the act of interpreting the past and placing it in perspective is conditioned by the moral and political choices which the historian has made in his own life – and vice versa. Trapped in this circle, human existence can never abstract from itself in order to gain access to the naked truth; it merely has the capacity to progress towards the objective and does not possess objectivity in fully-fledged form.[241]

Merleau-Ponty's theory of perception encompasses the notion of the self and the other and the dialogic exchange between the two as described by Bakhtin's dialogism. Moreover, its emphasis on individual phenomenological experience in the overall pluralistic, indeterminate collective understanding of the world echoes Hassan's description of the postmodern (which has a strong presence in Schnittke's Double Concerto for Oboe, Harp, and String Orchestra and Concerto for Piano and Strings as discussed in Chapters 3 and 4), Lyotard's postulation of the postmodernist incredulity toward metanarratives (exemplified by Schnittke's Concerto for Three and discussed in Chapter 6) and Jung's archetypal theory (discussed in Chapter 2).

We have constructed this thesis of the present music-theoretical investigation upon several philosophical perspectives. In particular, we have framed our argument around Jung's archetypal theory, which describes the difference between our individual

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[240]Ibid., 92.

[241]Maurice Merleau-Ponty, *The World of Perception*, translated by Oliver Davies (London: Routledge, 2004), 108.

personal unconscious and the collective unconscious, and Merleau-Ponty's phenomenology of perception, which stresses the incomplete and indeterminate nature of cognition.

From our reflection on the nature of our phenomenological process, we derive the understanding that the ambiguity we encounter in association with musical discourse is not a feature exclusive to postmodern music, but is an essence of both musical expression and perception. It is our hope that a humanistic and cognitive strategy that takes into consideration the multiplicity and heterogeneity of our musical experience will offer more felicitous and viable answers in future music-theoretical investigation.

We believe our theory of musical narrative when applied to Schnittke's oeuvre will open up a dialogical channel that encourages the coexistence of different viewpoints and enlivens their interaction, and that this will in turn engender new and fruitful interpretative results. A comprehensive study of Schnittke's oeuvre following a similar approach to that adopted in the present study will offer us an insight into the shift in significance and function of Schnittke's polystylistic method and the method's relationship to Schnittke's musical narratives in general.

We believe our theory of musical narrative can be applied to postmodern and polystylistic music in general. Of special research interest will be the investigation of the relationship among polystylism, expressive content, and implicature in musical narratives of other polystylistic composers such as Edison Denisov, Sofia Gubaidulina, Charles Ives, and Mauricio Kagel.

But we have discovered in the present study that polystylism or the assimilation of pre-existent material through appropriation is pervasive in all periods and musical

traditions. Also, we have found that ambiguity, heterogeneity, and incompleteness are not unique to the expression and perception of postmodern music, but common to all musical discourse and musical experience. Therefore, it is our belief that our theory of musical narrative, though first developed with postmodern and polystylistic music in mind, can be extended and applied to all musical traditions.

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